

Fortinet Inc.

FortiClient Crypto Module v1.0

# FIPS 140-3 Non-Proprietary Security Policy

Version: 1.0

Prepared for:



Prepared by:



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# 1 General

## 1.1 Overview

This document is a FIPS 140-3 Security Policy for Fortinet's FortiClient Crypto Module version 1.0 for Windows running inside FortiClient 7.4 and 8.0. This policy describes how the FortiClient Crypto Module (hereafter referred to as the 'module') meets the FIPS 140-3 security requirements and how to operate the module in a FIPS compliant manner. This policy was created as part of the FIPS 140-3 Level 1 validation of the module.

The Federal Information Processing Standards Publication 140-3 - Security Requirements for Cryptographic Equipment (FIPS 140-3) details the United States Federal Government requirements for cryptographic equipment. Detailed information about the FIPS 140-3 standard and validation program is available on the NIST (National Institute of Standards and Technology) website at <https://csrc.nist.gov/projects/cryptographic-module-validation-program>

## 1.2 Security Levels

| Section | Title                                   | Security Level |
|---------|-----------------------------------------|----------------|
| 1       | General                                 | 1              |
| 2       | Cryptographic module specification      | 1              |
| 3       | Cryptographic module interfaces         | 1              |
| 4       | Roles, services, and authentication     | 1              |
| 5       | Software/Firmware security              | 1              |
| 6       | Operational environment                 | 1              |
| 7       | Physical security                       | N/A            |
| 8       | Non-invasive security                   | N/A            |
| 9       | Sensitive security parameter management | 1              |
| 10      | Self-tests                              | 1              |
| 11      | Life-cycle assurance                    | 1              |
| 12      | Mitigation of other attacks             | N/A            |
|         | Overall Level                           | 1              |

Table 1: Security Levels

## 1.3 Additional Information

This policy deals specifically with operation and implementation of the module in the technical terms of the FIPS 140-3 standard and the associated validation program. Other Fortinet product manuals, guides and technical notes can be found at the Fortinet technical documentation website at <https://docs.fortinet.com>.

Additional information on the entire Fortinet product line can be obtained from the following sources:

- Find general product information in the product section of the Fortinet corporate website at <https://www.fortinet.com/products>.
- Find on-line product support for registered products in the technical support section of the Fortinet corporate website at <https://support.fortinet.com/>.
- Find contact information for technical or sales related questions in the contacts section of the Fortinet corporate website at <https://www.fortinet.com/contact>.
- Find security information and bulletins in the FortiGuard Center of the Fortinet corporate website at <https://www.fortiguard.com>.

## 2 Cryptographic Module Specification

### 2.1 Description

#### **Purpose and Use:**

The FortiClient Crypto Module v1.0 (hereafter referred to as the module) is a software cryptographic module that provides cryptographic services for FortiClient, Fortinet's endpoint security application. FortiClient and the module are designed to execute on a general-purpose computer (GPC) hardware platform. The module has no physical characteristics and relies on the physical characteristics of the GPC on which it runs.

The module is a component of the FortiClient software and requires the following:

- A commercially available, general purpose, x86 compatible computer
- Windows 11

The purpose of the module is to provide cryptographic services for FortiClient.

**Module Type:** Software

**Module Embodiment:** Multi-Chip Standalone

#### **Cryptographic Boundary:**

The module's cryptographic boundary encompasses the following FortiClient software binaries:

- FCCryptd.exe
- FCCrypt.dll, which serves as a wrapper for:
  - o libcrypto-3-x64.dll/libcrypto-3-arm64.dll
  - o libssl-3-x64.dll/libssl-3-arm64.dll

#### **Tested Operational Environment's Physical Perimeter (TOEPP):**

The TOEPP refers to the physical perimeter of the chassis of the general-purpose computer (GPC) on which the module is running.

The entire box in Figure 1 represents the TOEPP, while the gray boxes within the TOEPP represent the cryptographic boundary. For details on the cryptographic boundary and the Tested Operational Environment's Physical Perimeter, please refer to sections 2.1.6 and 2.1.7, respectively

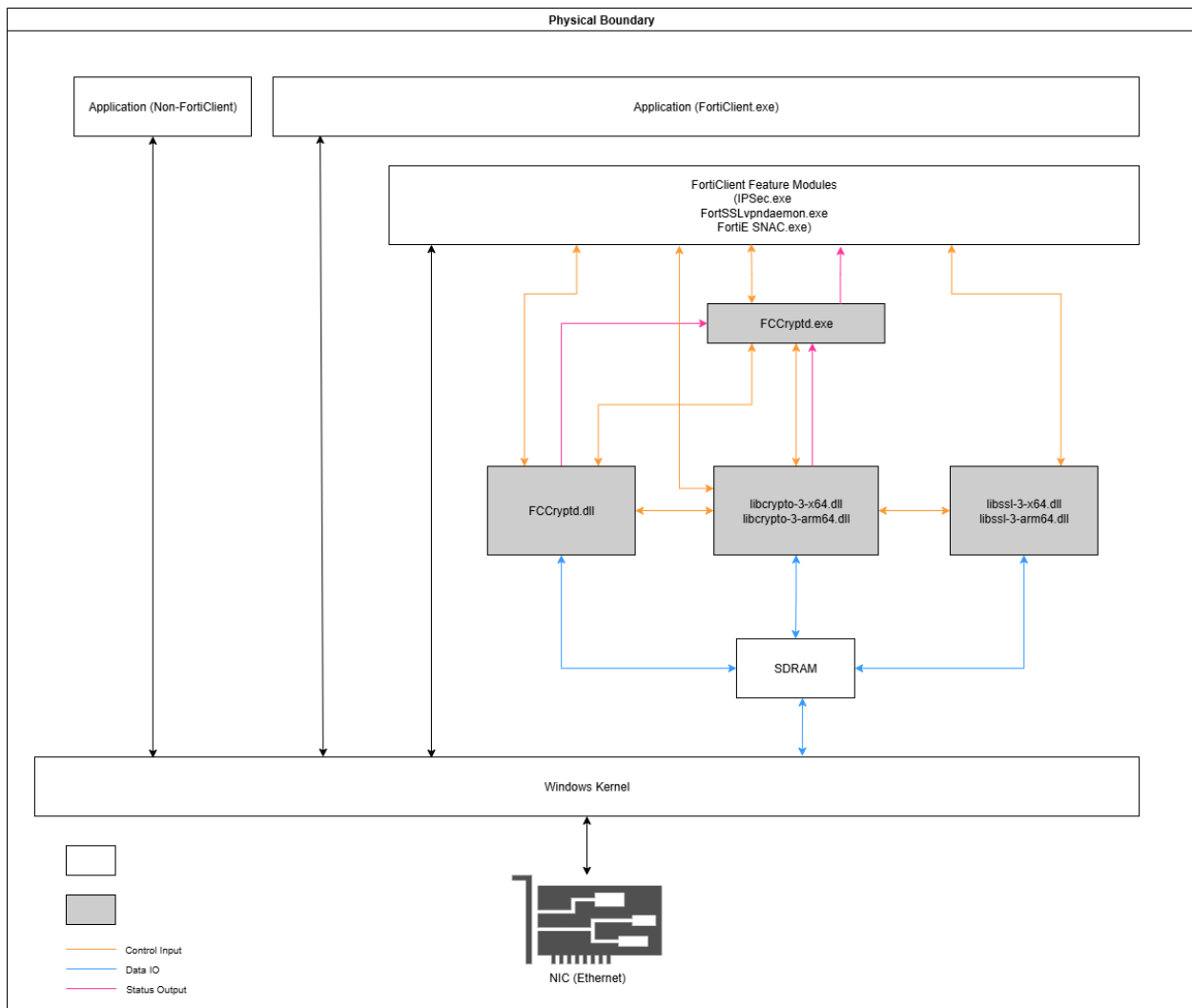


Figure 1: Block Diagram

## 2.2 Tested and Vendor Affirmed Module Version and Identification

### Tested Module Identification – Hardware:

N/A for this module.

### Tested Module Identification – Software, Firmware, Hybrid (Executable Code Sets):

| Package or File Name         | Software/ Firmware Version | Features | Integrity Test |
|------------------------------|----------------------------|----------|----------------|
| Fccryptd.exe<br>Fccryptd.dll | 7.4.4                      |          | RSA-4096       |

| Package or File Name                    | Software/ Firmware Version | Features | Integrity Test |
|-----------------------------------------|----------------------------|----------|----------------|
| libcrypto-3-x64.dll<br>libssl-3-x64.dll |                            |          |                |

Table 2: Tested Module Identification – Software, Firmware, Hybrid (Executable Code Sets)

#### Tested Module Identification – Hybrid Disjoint Hardware:

N/A for this module.

#### Tested Operational Environments - Software, Firmware, Hybrid:

| Operating System              | Hardware Platform       | Processors                          | PAA/PAI | Hypervisor or Host OS | Version(s) |
|-------------------------------|-------------------------|-------------------------------------|---------|-----------------------|------------|
| Microsoft Windows 11 (64-bit) | Dell Inc. Latitude 5440 | 13th Gen Intel(R) Core(TM) i5-1345U | No      |                       | 7.4.4      |

Table 3: Tested Operational Environments - Software, Firmware, Hybrid

#### Vendor-Affirmed Operational Environments - Software, Firmware, Hybrid:

| Operating System     | Hardware Platform                                               |
|----------------------|-----------------------------------------------------------------|
| Microsoft Windows 11 | GPC with x86 or x86-64 bit processor and FortiClient 7.4 or 8.0 |

Table 4: Vendor-Affirmed Operational Environments - Software, Firmware, Hybrid

CMVP makes no statement as to the correct operation of the module or the security strengths of the generated keys when so ported if the specific operational environment is not listed on the validation certificate.

## 2.3 Excluded Components

None.

## 2.4 Modes of Operation

#### Modes List and Description:

| Mode Name             | Description                                               | Type     | Status Indicator                              |
|-----------------------|-----------------------------------------------------------|----------|-----------------------------------------------|
| FIPS Deployed Package | The module is deployed as a FIPS package on the client PC | Approved | Run the command:<br>fccryptd.exe fips version |

Table 5: Modes List and Description

The module does not support multiple modes of operation. The validated configuration of the module meets the FIPS 140-3 requirements by default once the start-up procedures described in section 11.1 have been performed - i.e. the module has no FIPS "mode" that can be enabled or disabled by the user or local administrator and is always in the approved mode of operation.

## 2.5 Algorithms

### Approved Algorithms:

| Algorithm                | CAVP Cert | Properties                                                                                                                                                                                                                                                                                                                                         | Reference         |
|--------------------------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| AES-CBC                  | A7626     | Direction - Decrypt, Encrypt<br>Key Length - 128, 192, 256                                                                                                                                                                                                                                                                                         | SP 800-38A        |
| AES-ECB                  | A7626     | Direction - Decrypt, Encrypt<br>Key Length - 128                                                                                                                                                                                                                                                                                                   | SP 800-38A        |
| AES-GCM                  | A7626     | Direction - Decrypt, Encrypt<br>IV Generation - External<br>IV Generation Mode - 8.2.1<br>Key Length - 128, 256<br>Tag Length - 128<br>IV Length - IV Length: 96<br>Payload Length - Payload Length: 16, 128, 136, 256, 264<br>AAD Length - AAD Length: 0, 128, 136, 256                                                                           | SP 800-38D        |
| Counter DRBG             | A7626     | Prediction Resistance - No<br>Supports Reseed - Yes<br>Mode - AES-256<br>Derivation Function Enabled - Yes<br>Additional Input - Additional Input: 0-256<br>Increment 256<br>Entropy Input - Entropy Input: 256<br>Nonce - Nonce: 128<br>Personalization String Length - Personalization String Length: 0-256 Increment 256<br>Returned Bits - 256 | SP 800-90A Rev. 1 |
| ECDSA KeyGen (FIPS186-5) | A7626     | Curve - P-256, P-384, P-521<br>Secret Generation Mode - extra bits, testing candidates                                                                                                                                                                                                                                                             | FIPS 186-5        |
| ECDSA KeyVer (FIPS186-5) | A7626     | Curve - P-256, P-384, P-521                                                                                                                                                                                                                                                                                                                        | FIPS 186-5        |
| ECDSA SigGen (FIPS186-5) | A7626     | Curve - P-256, P-384, P-521<br>Hash Algorithm - SHA2-256, SHA2-384, SHA2-512<br>Component - No                                                                                                                                                                                                                                                     | FIPS 186-5        |

| Algorithm                | CAVP Cert | Properties                                                                                                                                                                                                                                          | Reference         |
|--------------------------|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| ECDSA SigVer (FIPS186-5) | A7626     | Curve - P-256, P-384, P-521<br>Hash Algorithm - SHA2-256, SHA2-384, SHA2-512<br>Component - No                                                                                                                                                      | FIPS 186-5        |
| HMAC-SHA-1               | A7626     | MAC - MAC: 32-160 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA2-256            | A7626     | MAC - MAC: 32-256 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA2-384            | A7626     | MAC - MAC: 32-384 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA2-512            | A7626     | MAC - MAC: 32-512 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA3-256            | A7626     | MAC - MAC: 32-256 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA3-384            | A7626     | MAC - MAC: 32-384 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| HMAC-SHA3-512            | A7626     | MAC - MAC: 32-512 Increment 8<br>Key Length - Key Length: 8-1024 Increment 8                                                                                                                                                                        | FIPS 198-1        |
| KAS-ECC-SSC Sp800-56Ar3  | A7626     | Domain Parameter Generation Methods - P-256, P-384, P-521<br>Scheme - ephemeralUnified -<br>KAS Role - initiator, responder                                                                                                                         | SP 800-56A Rev. 3 |
| KAS-FFC-SSC Sp800-56Ar3  | A7626     | Domain Parameter Generation Methods - ffdhe2048, ffdhe3072, ffdhe4096, ffdhe6144, ffdhe8192, MODP-2048, MODP-3072, MODP-4096, MODP-6144, MODP-8192<br>Scheme - dhEphem -<br>KAS Role - initiator, responder                                         | SP 800-56A Rev. 3 |
| PBKDF                    | A7626     | Iteration Count - Iteration Count: 1-1000 Increment 1<br>HMAC Algorithm - SHA-1<br>Password Length - Password Length: 8-31 Increment 1<br>Salt Length - Salt Length: 128-4096 Increment 8<br>Key Data Length - Key Data Length: 112-512 Increment 8 | SP 800-132        |
| RSA KeyGen (FIPS186-5)   | A7626     | Key Generation Mode - probable<br>Modulo - 2048, 3072, 4096<br>p mod 8 - 0<br>Primality Tests - 2powSecStr<br>q mod 8 - 0                                                                                                                           | FIPS 186-5        |

| Algorithm                        | CAVP Cert | Properties                                                                                                                                 | Reference            |
|----------------------------------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
|                                  |           | Info Generated By Server - No<br>Private Key Format - standard<br>Public Exponent Mode - random                                            |                      |
| RSA SigGen<br>(FIPS186-5)        | A7626     | Hash Pair -<br>Hash Algorithm - SHA2-256<br>Modulo - 2048, 3072, 4096<br>Signature Type - pkcs1v1.5                                        | FIPS 186-5           |
| RSA SigVer<br>(FIPS186-5)        | A7626     | Hash Pair -<br>Hash Algorithm - SHA2-256<br>Modulo - 2048, 3072, 4096<br>Signature Type - pkcs1v1.5<br>Public Exponent Mode - random       | FIPS 186-5           |
| Safe Primes<br>Key<br>Generation | A7626     | Safe Prime Groups - ffdhe2048, ffdhe3072,<br>ffdhe4096, ffdhe6144, ffdhe8192, MODP-2048,<br>MODP-3072, MODP-4096, MODP-6144, MODP-<br>8192 | SP 800-56A<br>Rev. 3 |
| SHA2-256                         | A7626     | Message Length - Message Length: 0-65528<br>Increment 8                                                                                    | FIPS 180-4           |
| SHA2-384                         | A7626     | Message Length - Message Length: 0-65528<br>Increment 8                                                                                    | FIPS 180-4           |
| SHA2-512                         | A7626     | Message Length - Message Length: 0-65528<br>Increment 8                                                                                    | FIPS 180-4           |
| SHA3-256                         | A4973     | Message Length - Message Length: 0-65536<br>Increment 8                                                                                    | FIPS 202             |
| SHA3-256                         | A7626     | Message Length - Message Length: 0-65536<br>Increment 8<br>Large Message Sizes - 1, 2, 4, 8                                                | FIPS 202             |
| SHA3-384                         | A7626     | Message Length - Message Length: 0-65536<br>Increment 8<br>Large Message Sizes - 1, 2, 4, 8                                                | FIPS 202             |
| SHA3-512                         | A7626     | Message Length - Message Length: 0-65536<br>Increment 8<br>Large Message Sizes - 1, 2, 4, 8                                                | FIPS 202             |

Table 6: Approved Algorithms

\* Note: The recommended iteration count of 1000 is used, as per SP800-132.

\*\* Note: Keys derived from passwords, as described in SP800-132, may only be used in storage applications.

#### Vendor-Affirmed Algorithms:

| Name | Properties                        | Implementation | Reference                                                      |
|------|-----------------------------------|----------------|----------------------------------------------------------------|
| CKG  | Key Type:Symmetric and Asymmetric | N/A            | SP 800-133 Rev.2 Section 4, example 1 direct output from DRBG. |

Table 7: Vendor-Affirmed Algorithms

#### Non-Approved, Allowed Algorithms:

N/A for this module.

Not Applicable.

#### Non-Approved, Allowed Algorithms with No Security Claimed:

N/A for this module.

None.

#### Non-Approved, Not Allowed Algorithms:

N/A for this module.

None.

## 2.6 Security Function Implementations

| Name                                    | Type      | Description                         | Properties          | Algorithms                                                                                                                 |
|-----------------------------------------|-----------|-------------------------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------|
| AES for Symmetric Encryption/Decryption | BC-UnAuth | Encryption/Decryption               | SP 800-38A:null     | AES-CBC:<br>(A7626)<br>Key Length:<br>128, 192,<br>256<br>AES-ECB:<br>(A7626)<br>Key Length:<br>128<br>AES-GCM:<br>(A7626) |
| DRBG                                    | DRBG      | Deterministic Random Bit Generation | SP 800-90Arev1:null | Counter<br>DRBG:<br>(A7626)<br>AES-CBC:<br>(A7626)<br>Key Length:<br>256                                                   |

| Name                             | Type               | Description                                                  | Properties      | Algorithms                                                                                                                      |
|----------------------------------|--------------------|--------------------------------------------------------------|-----------------|---------------------------------------------------------------------------------------------------------------------------------|
|                                  |                    |                                                              |                 | Prediction Resistance: No<br>Derivation Function: Yes                                                                           |
| ECDSA for Key Generation         | AsymKeyPair-KeyGen | Key Generation of the ECDSA Private Key and ECDSA Public Key | FIPS 186-5:null | ECDSA KeyGen (FIPS186-5): (A7626)<br>Curves: P-256, P-384, P-521<br>CKG: ()                                                     |
| ECDSA for Key Verification       | AsymKeyPair-KeyVer | ECDSA Public Key Verification                                | FIPS 186-5:null | ECDSA KeyVer (FIPS186-5): (A7626)<br>Curves: K-233, P-256, P-384, P-521                                                         |
| ECDSA for Signature Generation   | DigSig-SigGen      | ECDSA Signature Generation for the ECDSA Private Key         | FIPS 186-5:null | ECDSA SigGen (FIPS186-5): (A7626)<br>Curves: P-256, P-384, P-521<br>SHA2-256: (A7626)<br>SHA2-384: (A7626)<br>SHA2-512: (A7626) |
| ECDSA for Signature Verification | DigSig-SigVer      | ECDSA Signature Verification for the ECDSA Public Key        | FIPS 186-5:null | ECDSA SigVer (FIPS186-5): (A7626)<br>Curves: P-256, P-384, P-521<br>SHA2-256: (A7626)<br>SHA2-384: (A7626)                      |

| Name                          | Type    | Description                    | Properties        | Algorithms                                                                                                                                                                                                                                       |
|-------------------------------|---------|--------------------------------|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                               |         |                                |                   | SHA2-512:<br>(A7626)                                                                                                                                                                                                                             |
| HMAC for Keyed Hash Operation | MAC     | Message Authentication         | FIPS 198-1:null   | HMAC-SHA-1:<br>(A7626)<br>MAC<br>Lengths:<br>160, 256,<br>384, 512<br>HMAC-SHA2-256:<br>(A7626)<br>HMAC-SHA2-384:<br>(A7626)<br>HMAC-SHA2-512:<br>(A7626)<br>HMAC-SHA3-512:<br>(A7626)<br>HMAC-SHA3-256:<br>(A7626)<br>HMAC-SHA3-384:<br>(A7626) |
| ECC-SSC                       | KAS-SSC | ECDH Shared Secret Computation | SP 800-56Ar3:null | KAS-ECC-SSC Sp800-56Ar3:<br>(A7626)<br>Curves: P-256, P-384, P-521                                                                                                                                                                               |
| FFC-SSC                       | KAS-SSC | DH Shared Secret Computation   | SP 800-56Ar3:null | KAS-FFC-SSC Sp800-56Ar3:<br>(A7626)<br>Safe<br>Primes:<br>MODP-2048,<br>MODP-3072,<br>MODP-4096,                                                                                                                                                 |

| Name                           | Type          | Description                                                   | Properties      | Algorithms                                                                                                                       |
|--------------------------------|---------------|---------------------------------------------------------------|-----------------|----------------------------------------------------------------------------------------------------------------------------------|
|                                |               |                                                               |                 | MODP-6144, MODP-8192                                                                                                             |
| PBKDF                          | PBKDF         | Password-Based Key Derivation                                 | SP 800-132:null | PBKDF: (A7626)<br>HMAC-SHA-1: (A7626)<br>Key Length: 8-105<br>Increment 8                                                        |
| RSA for Key Generation         | CKG           | Key Pair Generation of the RSA Private Key and RSA Public Key | FIPS 186-5:null | RSA KeyGen (FIPS186-5): (A7626)<br>Modulo Sizes: 2048, 3072, 4096<br>CKG: ()                                                     |
| RSA for Signature Generation   | DigSig-SigGen | RSA Signature Generation for the RSA Private Key              | FIPS 186-5:null | RSA SigGen (FIPS186-5): (A7626)<br>Modulo Size: 2048, 3072, 4096<br>SHA2-256: (A7626)<br>SHA2-384: (A7626)<br>SHA2-512: (A7626)  |
| RSA for Signature Verification | DigSig-SigVer | RSA Signature Verification for the RSA Public Key             | FIPS 186-5:null | RSA SigVer (FIPS186-5): (A7626)<br>Modulo Sizes: 2048, 3072, 4096<br>SHA2-256: (A7626)<br>SHA2-384: (A7626)<br>SHA2-512: (A7626) |

| Name                             | Type               | Description                                                     | Properties                          | Algorithms                                                                                                                 |
|----------------------------------|--------------------|-----------------------------------------------------------------|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| SHA for Message Digest           | SHA                | Message Digest                                                  | FIPS 180-4,:null<br>FIPS 202:null   | SHA2-256: (A7626)<br>SHA2-384: (A7626)<br>SHA2-512: (A7626)<br>SHA3-512: (A7626)<br>SHA3-256: (A7626)<br>SHA3-384: (A7626) |
| RSA and SHA for Integrity Test   | DigSig-SigVer      | RSA and SHA for the pre-operational integrity tests.            | FIPS 198-1,:null<br>FIPS 186-5:null | RSA SigVer (FIPS186-5): (A7626)<br>Modulo Size: 4096<br>SHA2-256: (A7626)                                                  |
| Safe Prime Key Generation        | CKG                | Key Generation for all module services that utilize KAS-FFC-SSC | SP 800-56Arev3:null                 | Safe Primes Key Generation: (A7626)<br>Safe Primes: MODP-2048, MODP-3072, MODP-4096, MODP-6144, MODP-8192                  |
| Symmetric Key Generation for AES | CKG                |                                                                 |                                     | Counter DRBG: (A7626)<br>CKG: ()                                                                                           |
| KAS Key Pair Generation          | AsymKeyPair-KeyGen | Key pair generation for KAS ephemeral key pairs                 |                                     | Safe Primes Key Generation: (A7626)<br>ECDSA KeyGen (FIPS186-                                                              |

| Name               | Type    | Description    | Properties | Algorithms                                                                                       |
|--------------------|---------|----------------|------------|--------------------------------------------------------------------------------------------------|
|                    |         |                |            | 5): (A7626)<br>ECDSA<br>KeyVer<br>(FIPS186-5): (A7626)<br>Counter<br>DRBG:<br>(A7626)<br>CKG: () |
| Entropy Generation | ENT-ESV | Entropy source |            | SHA3-256:<br>(A4973)                                                                             |

Table 8: Security Function Implementations

## 2.7 Algorithm Specific Information

### Symmetric Keys:

The module generates symmetric keys as per section 6.2.3 of SP800-133rev2 using PBKDF2 (Password Based Key Derivation Function).

### PBKDF:

PBKDF2 uses SHA-1 and a 128-bit salt to derive keys, which are only used for storage purposes in accordance with SP800-132 and IG D.N Option 1a.

The probability of guessing a password at random (S) is equal to the Character Pool Size (C) raised to the power of the number of characters in the password (N). The Character Pool Size (C) is 95, as the password can contain lowercase (a- z) [26], uppercase (A-Z) [26], digits (0-9) [10], and special characters (!"\$%,) [33]. The minimum password length is 8 characters and is enforced. However, there is no constraint on the number of times a character is used from the character pool. Therefore, the probability of guessing a password (S) is between  $95^8$  and  $95^{105}$  – i.e. using an 8-character password the probability of guessing the password is 1 in 6,634,204,312,890,625.

### Asymmetric Keys:

ECDSA and RSA key generation is done using RBG provided as per section 4 of SP800-133rev2, and the elliptic curve is used with appropriate base order to meet SP800-57 Part 1 requirements.

### Key agreement:

The module does not establish SSPs using an approved key agreement scheme (KAS). However, it does offer some of the underlying KAS cryptographic functionality to be used by an external operator/application as part of an approved KAS.

The module supports Diffie Hellman Shared Secret Computation for KAS-ECC-SSC Ephemeral Unified and KAS-FFC-SSC Ephemeral DH key agreement schemes.

The module supports FFC full public key validation per Section 5.6.2.3.1 SP 800-56Arev3 and ECC full public key validation per Section 5.6.2.3.3 SP 800-56Arev3.

## 2.8 RBG and Entropy

| Cert Number | Vendor Name   |
|-------------|---------------|
| E138        | Fortinet Inc. |

Table 9: Entropy Certificates

| Name                                   | Type         | Operational Environment                                    | Sample Size | Entropy per Sample | Conditioning Component |
|----------------------------------------|--------------|------------------------------------------------------------|-------------|--------------------|------------------------|
| FortiClient CPU Jitter Entropy Library | Non-Physical | Windows 11 (64-bit) on 13th Gen Intel(R) Core(TM) i5-1345U | 256         | 256                | SHA3-256 (A4973)       |

Table 10: Entropy Sources

The module uses FortiClient CPU Jitter Entropy Library 1.0 to seed the DRBG during the module's boot process and to periodically reseed the DRBG. The entropy loaded into the approved AES-256-bit DRBG is 256 bits. The noise source is over-sampled and then a SHA3-256 conditioning component is applied as part of the entropy source. The default reseed period is once every 24 hours (1440 minutes) and is configurable (1 to 1440 minutes).

The module uses CTR\_DRBG as per section 10.2.1 of SP800-90Arev1 to generate random numbers.

## 2.9 Key Generation

The module complies with sections 4, 5, 6.1, and 6.2.3 of SP800-133rev2, where the module uses its Approved DRBG to generate random values and seeds used for symmetric key generation. The resulting symmetric key or generated seed is an unmodified output from the DRBG.

## 2.10 Key Establishment

For KAS-ECC-SSC, elliptic-curve groups approved for use by the key-establishment schemes specified in SP800-56Arev3 Appendix D are used.

For KAS-FFC-SSC, an approved safe prime group listed in SP800-56Arev3 Appendix D is used.

## 2.11 Industry Protocols

The module does not implement any industry protocols.

## 3 Cryptographic Module Interfaces

### 3.1 Ports and Interfaces

The module is a software module that communicates with the FortiClient software and the Windows Kernel, as such the module does not have any physical interfaces. The module's logical interfaces and the types of data passed over the interfaces are described below.

| Physical Port | Logical Interface(s) | Data That Passes                                                                           |
|---------------|----------------------|--------------------------------------------------------------------------------------------|
| N/A           | Data Input           | API input parameters for data- plain text and cipher text, digital signatures, public keys |
| N/A           | Data Output          | API output parameters for data- encrypted or decrypted, digital signatures, hashes         |
| N/A           | Control Input        | API input commands from FortiClient application, entropy input                             |
| N/A           | Status Output        | API return values to the FortiClient application                                           |

Table 11: Ports and Interfaces

Note: Data I/O occurs between the module and the FortiClient application and the Windows Kernel (connection to NIC for VPN tunnel). All the data output via the data output interface is inhibited when the module is performing pre-operational tests, zeroization, or enters an error state. The module does not support a control output interface.

## 4 Roles, Services, and Authentication

### 4.1 Authentication Methods

N/A for this module.

The module does not claim any authentication methods as it is a FIPS 140-3 level 1 software module.

### 4.2 Roles

| Name           | Type | Operator Type | Authentication Methods |
|----------------|------|---------------|------------------------|
| Crypto Officer | Role | CO            | None                   |

Table 12: Roles

The module provides the following roles:

- Crypto Officer (CO)

A User with Windows administrative privileges assumes the "Crypto Officer" role. Multiple accounts can be logged in to the Windows PC, but only one account (and therefore only one role) can be active at a time through Windows user switching.

The module does not provide a Maintenance role.

### 4.3 Approved Services

| Name                      | Description                      | Indicator                                              | Inputs                                                          | Outputs                                         | Security Functions                                                                                          | SSP Access                                                                                        |
|---------------------------|----------------------------------|--------------------------------------------------------|-----------------------------------------------------------------|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| Asymmetric Key Generation | RSA and ECDSA Keys are Generated | Successful completion of service. IG 2.4.C, Scenario 2 | key size<br>ECDSA: curve identifier.<br>RSA: domain parameters. | Key pair struct (public + private keys), status | ECDSA for Key Generation<br>ECDSA for Key Verification<br>RSA for Key Generation<br>KAS Key Pair Generation | Crypto Officer<br>- ECDSA Public Key: G<br>- ECDSA Private Key: G<br>- RSA Public Key: G<br>- RSA |

| Name                      | Description                                | Indicator                                              | Inputs                                                        | Outputs                                              | Security Functions                                                                                                                                                                                     | SSP Access                                                                                                               |
|---------------------------|--------------------------------------------|--------------------------------------------------------|---------------------------------------------------------------|------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
|                           |                                            |                                                        |                                                               |                                                      |                                                                                                                                                                                                        | Private Key: G<br>- DH<br>Private Key: G<br>- DH<br>Public Key: G<br>- ECDH<br>Private Key: G<br>- ECDH<br>Public Key: G |
| Derive Key Via PBKDF2     | The module derives key using user password | Successful completion of service. IG 2.4.C, Scenario 2 | Password, salt, iteration count, key length, provider context | Key is derived, status                               | HMAC for Keyed Hash Operation<br>PBKDF<br>SHA for Message Digest                                                                                                                                       | Crypto Officer<br>- PBKDF 2<br>Derived Key: G<br>- User Password: W,E                                                    |
| Execute Manual Self-Tests | Manual Self-Tests are executed             | Successful completion of service. IG 2.4.C, Scenario 2 | Windows CLI Command                                           | Self-test results displayed in Command Prompt Window | AES for Symmetric Encryption/Decryption<br>DRBG<br>ECDSA for Key Generation<br>ECDSA for Key Verification<br>ECDSA for Signature Generation<br>ECDSA for Signature Verification<br>HMAC for Keyed Hash | Crypto Officer                                                                                                           |

| Name                    | Description                                               | Indicator                                              | Inputs                 | Outputs                       | Security Functions                                                                                                                                                                                                                                                                      | SSP Access                   |
|-------------------------|-----------------------------------------------------------|--------------------------------------------------------|------------------------|-------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
|                         |                                                           |                                                        |                        |                               | Operation<br>ECC-SSC<br>FFC-SSC<br>PBKDF<br>RSA for Key Generation<br>RSA for Signature Generation<br>RSA for Signature Verification<br>SHA for Message Digest<br>RSA and SHA for Integrity Test<br>Safe Prime Key Generation<br>Symmetric Key Generation for AES<br>Entropy Generation |                              |
| Generate Message Digest | Message Digests are generated using SHA algorithms        | Successful completion of service. IG 2.4.C, Scenario 2 | Message                | Message digest, status        | SHA for Message Digest                                                                                                                                                                                                                                                                  | Crypto Officer               |
| Generate Keyed Hash     | Keyed hash is generated to provide message authentication | Successful completion of service. IG 2.4.C, Scenario 2 | key struct, message    | MAC value, MAC length, status | HMAC for Keyed Hash Operation                                                                                                                                                                                                                                                           | Crypto Officer - HMAC Key: E |
| Install                 | FortiClient module installed                              | Successful completion                                  | Module binary, Windows | FortiClient installed on GPC  |                                                                                                                                                                                                                                                                                         | Crypto Officer               |

| Name          | Description                                       | Indicator                                              | Inputs                           | Outputs                                               | Security Functions                              | SSP Access                                                                                                                                                                       |
|---------------|---------------------------------------------------|--------------------------------------------------------|----------------------------------|-------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|               | on the GPC                                        | ion of service. IG 2.4.C, Scenario 2                   | GUI installation commands        |                                                       |                                                 |                                                                                                                                                                                  |
| Initialize    | FortiClient module installed on the GPC           | Successful completion of service. IG 2.4.C, Scenario 2 | Windows GUI                      | Module initialized as part of the FortiClient startup |                                                 | Crypto Officer                                                                                                                                                                   |
| Key Agreement | Shared secret computation using FFC DH and ECC DH | Successful completion of service. IG 2.4.C, Scenario 2 | Key structs (key agreement keys) | Shared secret, status                                 | ECC-SSC<br>FFC-SSC<br>Safe Prime Key Generation | Crypto Officer<br>- ECDH Shared Secret Key: G<br>- ECDH Private Key: G,E<br>- ECDH Public Key: G,E<br>- DH Private Key: G,E<br>- DH Public Key: G,E<br>- DH Shared Secret Key: G |

| Name                      | Description                                                                       | Indicator                                              | Inputs                                                                                                 | Outputs                                                       | Security Functions                                                                                                                   | SSP Access                                                                                                       |
|---------------------------|-----------------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| Perform Digital Signature | Digital Signature generation and verification using RSA and ECDSA asymmetric keys | Successful completion of service. IG 2.4.C, Scenario 2 | Signing key, message, signature parameters                                                             | Signature value, status                                       | ECDSA for Signature Generation<br>ECDSA for Signature Verification<br>RSA for Signature Generation<br>RSA for Signature Verification | Crypto Officer<br>- ECDSA Public Key: E<br>- ECDSA Private Key: E<br>- RSA Public Key: E<br>- RSA Private Key: E |
| Random Bit Generation     | A counter-based random bit is generated using JitterEntropy                       | Successful completion of service. IG 2.4.C, Scenario 2 | DRBG struct (RGB state), entropy input, requested big length, additional input, personalization string | Random value, status, RBG state updated                       | DRBG                                                                                                                                 | Crypto Officer<br>- Entropy Input String: E<br>- DRBG Seed: E<br>- DRBG 'V' Value: E<br>- DRBG 'Key' Value: E    |
| Show Module Status        | Module Status Displayed                                                           | Successful completion of service. IG 2.4.C, Scenario 2 | FCCryptd.exe fips version                                                                              | 'FIPS' status message, integrity test results, module version |                                                                                                                                      | Crypto Officer                                                                                                   |

| Name                                | Description                                                   | Indicator                                              | Inputs                                                                        | Outputs                                                                   | Security Functions                      | SSP Access                                                                                            |
|-------------------------------------|---------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------------------------------------------------|
| Show Version Information            | Crypto Module version shown                                   | Successful completion of service. IG 2.4.C, Scenario 2 | FCCryptd.exe fips version                                                     | 'FIPS' status message, integrity test results, module version             |                                         | Crypto Officer                                                                                        |
| Symmetric Key Encryption/Decryption | AES Keys are used to encrypt plaintext and decrypt ciphertext | Successful completion of service. IG 2.4.C, Scenario 2 | Encryption or decryption key, plaintext or ciphertext data, cipher parameters | Ciphertext or plaintext, authentication tag (authenticated modes), status | AES for Symmetric Encryption/Decryption | Crypto Officer - AES Key: E                                                                           |
| Symmetric Key Generation            | AES Keys are Generated                                        | Successful completion of service. IG 2.4.C, Scenario 2 | Key length, provider context                                                  | Key struct, Symmetric key generated, status                               | Symmetric Key Generation for AES        | Crypto Officer - AES Key: G                                                                           |
| Key Zeroization                     | All Sensitive Security are zeroized                           | Successful completion of service. IG 2.4.C, Scenario 2 | Key struct(s)                                                                 | Zeroized key material, status                                             |                                         | Crypto Officer - AES Key: Z - DH Private Key: Z - DH Public Key: Z - DH Shared Secret Key: Z - Entrop |

| Name | Description | Indicator | Inputs | Outputs | Security Functions | SSP Access                                                                                                                                                                                                                                                                                                   |
|------|-------------|-----------|--------|---------|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|      |             |           |        |         |                    | y Input String:<br>Z<br>-<br>DRBG Seed:<br>Z<br>-<br>DRBG 'V' Value:<br>Z<br>-<br>DRBG 'Key' Value:<br>Z<br>-<br>ECDH Private Key: Z<br>-<br>ECDH Public Key: Z<br>-<br>ECDH Shared Secret Key: Z<br>-<br>ECDSA Public Key: Z<br>-<br>ECDSA Private Key: Z<br>-<br>HMAC Key: Z<br>-<br>PBKDF 2 Derive d Key: |

| Name | Description | Indicator | Inputs | Outputs | Security Functions | SSP Access                                                             |
|------|-------------|-----------|--------|---------|--------------------|------------------------------------------------------------------------|
|      |             |           |        |         |                    | Z<br>- RSA Public Key: Z<br>- RSA Private Key: Z<br>- User Password: Z |

Table 13: Approved Services

The following tables detail the types of approved services available to each role in approved mode of operation, the types of access for each role and the Keys or CSPs they affect.

- Generate: The module generates or derives the SSP.
- Read: The SSP is read from the module (e.g. the SSP is output).
- Write: The SSP is updated, imported, or written to the module.
- Execute: The module uses the SSP in performing a cryptographic operation.
- Zeroise: The module zeroises the SSP.

#### 4.4 Non-Approved Services

N/A for this module.

None.

#### 4.5 External Software/Firmware Loaded

None. The module does not use or require external software or firmware components.

## 5 Software/Firmware Security

### 5.1 Integrity Techniques

The module uses an RSA PKCS1.5 4096 with SHA2-256 (Cert. #A7626) signatures to verify the integrity of its binaries. The integrity check runs automatically when FortiClient starts. If the test passes, the results are output to the command prompt window.

If the test fails, FortiClient will log the failure and perform shutdown. See Section 10.4 (Error States) for more information.

### 5.2 Initiate on Demand

The integrity test can be triggered on demand by reinitializing the module or via the self-test commands.

## 6 Operational Environment

### 6.1 Operational Environment Type and Requirements

**Type of Operational Environment:** Modifiable

**How Requirements are Satisfied:**

The FortiClient module operates in a modifiable operational environment and runs on a commercially available GPC. For specific information regarding the operational environment, please refer to section 2.3.1. There are no user-configurable settings for the module. For more details on the installation process, please refer to section 11.1.

## 7 Physical Security

N/A for this module.

As per section 7.7.1 of BS ISO/IEC 19790:2012, this section is not applicable due to this being a multi-chip embedded software only module.

## 8 Non-Invasive Security

This section is not applicable. There are no non-invasive security test's employed for this Module as per Annex F of BS ISO/IEC 19790:2012.

## 9 Sensitive Security Parameters Management

### 9.1 Storage Areas

| Storage Area Name | Description                | Persistence Type |
|-------------------|----------------------------|------------------|
| SDRAM             | System Memory as Plaintext | Dynamic          |

Table 14: Storage Areas

### 9.2 SSP Input-Output Methods

| Name       | From                | To                  | Format Type | Distribution Type | Entry Type | SFI or Algorithm |
|------------|---------------------|---------------------|-------------|-------------------|------------|------------------|
| API Input  | Calling application | SDRAM               | Plaintext   | Manual            | Electronic |                  |
| API Output | SDRAM               | Calling application | Plaintext   | Manual            | Electronic |                  |

Table 15: SSP Input-Output Methods

### 9.3 SSP Zeroization Methods

As per SP IG 9.3 Resolution 2, Fortinet follows SSP procedural zeroization which is achieved through the following steps:

1. Uninstalling the Module
2. Overwriting the mass storage
3. Power Cycling the Host Computer

The operator must maintain control of the module during the entire zeroization procedure.

In accordance with IG 9.7.B Resolution 2, successful completion of the procedural zeroization itself serves as the implicit indicator that zeroization is complete.

| Zeroization Method     | Description           | Rationale                                                                                                           | Operator Initiation                                              |
|------------------------|-----------------------|---------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| Procedural Zeroisation | Clear volatile memory | All SSPs are stored in volatile memory and are cleared immediately when power is removed or the process is deleted. | Operator removes power from the module or uninstalls the module. |

| Zeroization Method | Description                                              | Rationale                                                                                                         | Operator Initiation                                |
|--------------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|
| Zeroize function   | Zeroization of SSPs in memory via a direct function call | Use of explicit zeroisation function destroys SSP information immediately by overwriting memory area with zeroes. | Calling application utilizes zeroize API commands. |

Table 16: SSP Zeroization Methods

## 9.4 SSPs

| Name                 | Description                                    | Size - Strength                         | Type - Category                  | Generated By                     | Established By | Used By                                 |
|----------------------|------------------------------------------------|-----------------------------------------|----------------------------------|----------------------------------|----------------|-----------------------------------------|
| AES Key              | Symmetric Key used to Encrypt and Decrypt Data | 128, 192, 256 bits - 128, 192, 256 bits | Symmetric Key Cryptography - CSP | Symmetric Key Generation for AES |                | AES for Symmetric Encryption/Decryption |
| DH Private Key       | Key Agreement and Establishment                | 2048 - 8192 bits - 112 - 200 bits       | Asymmetric Private Key - CSP     | KAS Key Pair Generation          |                | FFC-SSC Safe Prime Key Generation       |
| DH Public Key        | Key Agreement and Establishment                | 2048 - 8192 bits - 112 - 200 bits       | Asymmetric Public Key - PSP      | KAS Key Pair Generation          |                | FFC-SSC Safe Prime Key Generation       |
| DH Shared Secret Key | Shared secret computation                      | 2048 - 8192 bits - 112 - 200 bits       | Shared Secret - CSP              |                                  | FFC-SSC        | FFC-SSC Safe Prime Key Generation       |
| Entropy Input String | Input String from the Entropy Pool             | 256 bits - 256 bits                     | Entropy - CSP                    | Entropy Generation               |                | DRBG                                    |
| DRBG Seed            | 256 bit seed used by the DRBG                  | 256 bits - 256 bits                     | Seeding Material for DRBG - CSP  | DRBG                             |                | DRBG                                    |

| Name                   | Description                       | Size - Strength                      | Type - Category              | Generated By             | Established By | Used By                               |
|------------------------|-----------------------------------|--------------------------------------|------------------------------|--------------------------|----------------|---------------------------------------|
| DRBG 'V' Value         | Internal State Value for the DRBG | 256 bits - 256 bits                  | DRBG - CSP                   | DRBG                     |                | DRBG                                  |
| DRBG 'Key' Value       | Internal State Value for the DRBG | 256 bits - 256 bits                  | DRBG - CSP                   | DRBG                     |                | DRBG                                  |
| ECDH Private Key       | Key Agreement and Establishment   | P-256, P-384, P-521 - 128 - 256 bits | Asymmetric Private Key - CSP | KAS Key Pair Generation  |                | ECC-SSC                               |
| ECDH Public Key        | Key Agreement and Establishment   | P-256, P-384, P-521 - 128 - 256 bits | Asymmetric Public Key - PSP  | KAS Key Pair Generation  |                | ECDSA for Key Verification<br>ECC-SSC |
| ECDH Shared Secret Key | Shared secret computation         | P-256, P-384, P-521 - 128 - 256 bits | Shared Secret - CSP          |                          | ECC-SSC        |                                       |
| ECDSA Public Key       | Digital Signature verification    | P-256, P-384, P-521 - 128 - 256 bits | Asymmetric Public Key - PSP  | ECDSA for Key Generation |                | ECDSA for Signature Verification      |
| ECDSA Private Key      | Digital Signature Generation      | P-256, P-384, P-521 - 128 - 256 bits | Asymmetric Private Key - CSP | ECDSA for Key Generation |                | ECDSA for Signature Generation        |
| HMAC Key               | Message Authentication            | 160, 256, 384, 512 - 112 - 256 bits  | Message Authentication - CSP |                          |                | HMAC for Keyed Hash Operation         |
| PBKDF 2 Derived Key    | Key derived from PBKDF2           | 160 bits - 160 bits                  | Key Derivation - CSP         | PBKDF                    |                |                                       |

| Name            | Description                                        | Size - Strength                 | Type - Category              | Generated By           | Established By | Used By                             |
|-----------------|----------------------------------------------------|---------------------------------|------------------------------|------------------------|----------------|-------------------------------------|
| RSA Public Key  | Asymmetric Key used for RSA signature verification | 2048, 3072, 4096 - 112-152 bits | Asymmetric Public Key - PSP  | RSA for Key Generation |                | RSA for Signature Verification      |
| RSA Private Key | Asymmetric Key used for RSA signature generation   | 2048, 3072, 4096 - 112-152 bits | Asymmetric Private Key - CSP | RSA for Key Generation |                | RSA for Signature Generation        |
| User Password   | Input to PBKDF2 for Key Derivation                 | 8 - 105 characters - 52 - 256   | Key Derivation - CSP         |                        |                | HMAC for Keyed Hash Operation PBKDF |

Table 17: SSP Table 1

| Name                 | Input - Output          | Storage         | Storage Duration  | Zeroization            | Related SSPs                                              |
|----------------------|-------------------------|-----------------|-------------------|------------------------|-----------------------------------------------------------|
| AES Key              | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation |                                                           |
| DH Private Key       | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | DH Public Key:Paired With                                 |
| DH Public Key        | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | DH Private Key:Paired With                                |
| DH Shared Secret Key | API Output              | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | DH Public Key:Derived From<br>DH Private Key:Derived From |
| Entropy Input String |                         | SDRAM:Plaintext | Module lifetime   | Procedural Zeroisation |                                                           |
| DRBG Seed            |                         | SDRAM:Plaintext | Module lifetime   | Procedural Zeroisation | DRBG Entropy Input:Derived From                           |
| DRBG 'V' Value       |                         | SDRAM:Plaintext | Module lifetime   | Procedural Zeroisation | DRBG Seed:Derived From                                    |

| Name                   | Input - Output          | Storage         | Storage Duration  | Zeroization            | Related SSPs                                                  |
|------------------------|-------------------------|-----------------|-------------------|------------------------|---------------------------------------------------------------|
| DRBG 'Key' Value       |                         | SDRAM:Plaintext | Module lifetime   | Procedural Zeroisation | DRBG Seed:Derived From                                        |
| ECDH Private Key       | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | ECDH Public Key:Paired With                                   |
| ECDH Public Key        | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | ECDH Private Key:Paired With                                  |
| ECDH Shared Secret Key | API Output              | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | ECDH Public Key:Derived From<br>ECDH Private Key:Derived From |
| ECDSA Public Key       | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | ECDSA Private Key:Paired With                                 |
| ECDSA Private Key      | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | ECDSA Public Key:Paired With                                  |
| HMAC Key               | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation |                                                               |
| PBKDF2 Derived Key     | API Output              | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | User Password:Derived From                                    |
| RSA Public Key         | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | RSA Private Key:Paired With                                   |
| RSA Private Key        | API Input<br>API Output | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation | RSA Public Key:Paired With                                    |
| User Password          | API Input               | SDRAM:Plaintext | API Call Lifetime | Procedural Zeroisation |                                                               |

Table 18: SSP Table 2



## 9.5 Transitions

The following transitions apply to the module and will be non-approved for cryptographic protection purposes after December 31, 2030:

- All use of the SHA-1 hash algorithm
- SSPs with less than 128-bit security strength

## 10 Self-Tests

### 10.1 Pre-Operational Self-Tests

| Algorithm or Test       | Test Properties               | Test Method | Test Type         | Indicator                         | Details         |
|-------------------------|-------------------------------|-------------|-------------------|-----------------------------------|-----------------|
| HMAC-SHA2-256           | Configuration Integrity Test  | KAT         | Critical Function | Pass Indicator<br>Error Indicator | Verify          |
| SHA2-256 and RSA SigVer | RSA PKCS1.5 4096 and SHA2-256 | KAT         | SW/FW Integrity   | Pass Indicator<br>Error Indicator | Sign and Verify |

Table 19: Pre-Operational Self-Tests

The cryptographic module's pre-operational self-tests provide the operator with assurance that no faults have been introduced that could hinder correct operation, as outlined in ISO/IEC 19790:2012, section 7.10.1. Upon successfully passing the self-tests, the module logs a pass indicator message in cryptdlog.txt. Refer to section 10.6 for more information.

In the event that any of the self-tests fail, FortiClient logs an error indicator message for the specific test(s) in cryptdlog.txt. Refer to section 10.4 for examples and more information.

#### Configuration Integrity Test:

The module performs the startup configuration integrity test by performing the following steps:

- Upon first startup, fccryptd.exe calculates an HMAC using SHA2-256 for the configuration settings stored in the registry.
- The calculated HMAC value is then stored in the registry.
- When authorized configuration changes are made, fccryptd.exe recalculates and stores the new HMAC value.
- On subsequent startups, fccryptd.exe verifies the integrity by recalculating the HMAC and comparing it with the stored HMAC value.
- If the stored and recalculated HMAC values don't match, the configuration integrity test fails.

The configuration integrity test can be run on demand using fccrypt fips kat configuration at the command line. The following is an example of a successful self-test:

FIPS: HMAC self-test passed

#### SW/FW Integrity Test:

The module verifies the integrity of each file within the cryptographic boundary through RSA signature verification with SHA2-256. Each file is signed during development, and the public RSA key is delivered with the module binary.

## 10.2 Conditional Self-Tests

| Algorithm or Test | Test Properties   | Test Method  | Test Type | Indicator                         | Details                                               | Conditions     |
|-------------------|-------------------|--------------|-----------|-----------------------------------|-------------------------------------------------------|----------------|
| AES-CBC #1        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Encrypt                                               | Initialization |
| AES-CBC #2        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Decrypt                                               | Initialization |
| AES-ECB #1        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Encrypt                                               | Initialization |
| AES-ECB #2        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Decrypt                                               | Initialization |
| AES-GCM #1        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Encrypt                                               | Initialization |
| AES-GCM #2        | Key Size:128      | KAT          | CAST      | Pass Indicator<br>Error Indicator | Decrypt                                               | Initialization |
| Counter DRBG #1   | AES-CBC (256 bit) | Health Tests | CAST      | Pass Indicator<br>Error Indicator | Instantiate, Generate, and Reseed                     | Initialization |
| Counter DRBG #2   | AES-CBC (256 bit) | KAT          | CAST      | Pass Indicator<br>Error Indicator | Prediction Resistance: No<br>Derivation Function: Yes | Initialization |

| Algorithm or Test        | Test Properties | Test Method | Test Type | Indicator                         | Details                      | Conditions             |
|--------------------------|-----------------|-------------|-----------|-----------------------------------|------------------------------|------------------------|
| ECDSA KeyGen (FIPS186-5) | P-256           | PCT         | PCT       | Pass Indicator<br>Error Indicator | Key Pair Generation          | On key pair generation |
| ECDSA KeyVer (FIPS186-5) | P-256           | PCT         | PCT       | Pass Indicator<br>Error Indicator | Key Pair Verification        | On key pair generation |
| ECDSA SigGen (FIPS186-5) | P-256           | KAT         | CAST      | Pass Indicator<br>Error Indicator | Sign                         | Initialization         |
| ECDSA SigVer (FIPS186-5) | P-256           | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA2-256            | HMAC-SHA2-256   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA2-384            | HMAC-SHA2-384   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA2-512            | HMAC-SHA2-512   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA3-256            | HMAC-SHA3-256   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA3-384            | HMAC-SHA3-384   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| HMAC-SHA3-512            | HMAC-SHA3-512   | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                       | Initialization         |
| KAS-ECC-SSC              | P-256           | KAT         | CAST      | Pass Indicator                    | Verify computation of shared | Initialization         |

| Algorithm or Test | Test Properties | Test Method | Test Type | Indicator                         | Details                                                      | Conditions             |
|-------------------|-----------------|-------------|-----------|-----------------------------------|--------------------------------------------------------------|------------------------|
|                   |                 |             |           | Error Indicator                   | secret Z in Ephemeral Unified scheme                         |                        |
| KAS-FFC-SSC       | MODP-2048       | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify computation of shared secret Z in dh Ephemeral scheme | Initialization         |
| PBKDF2            | HMAC-SHA-1      | KAT         | CAST      | Pass Indicator<br>Error Indicator | Key Derivation                                               | Initialization         |
| RSA KeyGen        | 2048 bit        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Key Pair Generation                                          | Initialization         |
| RSA KeyGen PCT    | 2048 bit        | PCT         | PCT       | Pass Indicator<br>Error Indicator | Key Pair Generation                                          | On key pair generation |
| RSA SigGen        | 2048 bit        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Sign                                                         | Initialization         |
| RSA SigVer        | 2048 bit        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                                                       | Initialization         |
| SHA2-256          | SHA2-256        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                                                       | Initialization         |
| SHA2-384          | SHA2-384        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                                                       | Initialization         |
| SHA2-512          | SHA2-512        | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify                                                       | Initialization         |

| Algorithm or Test                  | Test Properties                                                                                                                                               | Test Method | Test Type | Indicator                         | Details             | Conditions             |
|------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-----------|-----------------------------------|---------------------|------------------------|
| SHA3-256                           | SHA3-256                                                                                                                                                      | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify              | Initialization         |
| SHA3-384                           | SHA3-384                                                                                                                                                      | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify              | Initialization         |
| SHA3-512                           | SHA3-512                                                                                                                                                      | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify              | Initialization         |
| SHA3-256 (A4973)                   | SHA3-256                                                                                                                                                      | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify              | Initialization         |
| Safe Primes Key Generation (A7626) | Safe Prime Groups:<br>ffdhe2048,<br>ffdhe3072,<br>ffdhe4096,<br>ffdhe6144,<br>ffdhe8192,<br>MODP-2048,<br>MODP-3072,<br>MODP-4096,<br>MODP-6144,<br>MODP-8192 | PCT         | PCT       | Pass Indicator<br>Error Indicator | Key Pair Generation | On key pair generation |
| HMAC-SHA-1 (A7626)                 | HMAC-SHA-1                                                                                                                                                    | KAT         | CAST      | Pass Indicator<br>Error Indicator | Verify              | Initialization         |

Table 20: Conditional Self-Tests

Cryptographic Algorithm Self Tests (CASTs): The module performs self-tests on approved algorithms, as required by FIPS 140-3 Implementation Guidance (IG) section 10.3.A. If any self-test fails, FortiClient logs the specific test(s) in cryptdlog.txt (refer to Section 10.6 for more information).

The module also performs Critical Functions Test (CFT), Continuous Pair-wise Consistency Test (CPCT), as outlined in FIPS 140-3 IG section 10.3.A.

## 10.3 Periodic Self-Test Information

| Algorithm or Test       | Test Method | Test Type         | Period    | Periodic Method |
|-------------------------|-------------|-------------------|-----------|-----------------|
| HMAC-SHA2-256           | KAT         | Critical Function | On-Demand | Initialization  |
| SHA2-256 and RSA SigVer | KAT         | SW/FW Integrity   | On-Demand | Initialization  |

Table 21: Pre-Operational Periodic Information

| Algorithm or Test        | Test Method  | Test Type | Period    | Periodic Method        |
|--------------------------|--------------|-----------|-----------|------------------------|
| AES-CBC #1               | KAT          | CAST      | On-Demand | Initialization         |
| AES-CBC #2               | KAT          | CAST      | On-Demand | Initialization         |
| AES-ECB #1               | KAT          | CAST      | On-Demand | Initialization         |
| AES-ECB #2               | KAT          | CAST      | On-Demand | Initialization         |
| AES-GCM #1               | KAT          | CAST      | On-Demand | Initialization         |
| AES-GCM #2               | KAT          | CAST      | On-Demand | Initialization         |
| Counter DRBG #1          | Health Tests | CAST      | On-Demand | Initialization         |
| Counter DRBG #2          | KAT          | CAST      | On-Demand | Initialization         |
| ECDSA KeyGen (FIPS186-5) | PCT          | PCT       | On-Demand | On key pair generation |
| ECDSA KeyVer (FIPS186-5) | PCT          | PCT       | On-Demand | On key pair generation |
| ECDSA SigGen (FIPS186-5) | KAT          | CAST      | On-Demand | Initialization         |
| ECDSA SigVer (FIPS186-5) | KAT          | CAST      | On-Demand | Initialization         |
| HMAC-SHA2-256            | KAT          | CAST      | On-Demand | Initialization         |
| HMAC-SHA2-384            | KAT          | CAST      | On-Demand | Initialization         |
| HMAC-SHA2-512            | KAT          | CAST      | On-Demand | Initialization         |
| HMAC-SHA3-256            | KAT          | CAST      | On-Demand | Initialization         |
| HMAC-SHA3-384            | KAT          | CAST      | On-Demand | Initialization         |

| Algorithm or Test                  | Test Method | Test Type | Period    | Periodic Method        |
|------------------------------------|-------------|-----------|-----------|------------------------|
| HMAC-SHA3-512                      | KAT         | CAST      | On-Demand | Initialization         |
| KAS-ECC-SSC                        | KAT         | CAST      | On-Demand | Initialization         |
| KAS-FFC-SSC                        | KAT         | CAST      | On-Demand | Initialization         |
| PBKDF2                             | KAT         | CAST      | On-Demand | Initialization         |
| RSA KeyGen                         | KAT         | CAST      | On-Demand | Initialization         |
| RSA KeyGen PCT                     | PCT         | PCT       | On-Demand | On key pair generation |
| RSA SigGen                         | KAT         | CAST      | On-Demand | Initialization         |
| RSA SigVer                         | KAT         | CAST      | On-Demand | Initialization         |
| SHA2-256                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA2-384                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA2-512                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA3-256                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA3-384                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA3-512                           | KAT         | CAST      | On-Demand | Initialization         |
| SHA3-256 (A4973)                   | KAT         | CAST      | On-Demand | Initialization         |
| Safe Primes Key Generation (A7626) | PCT         | PCT       | On-Demand | On key pair generation |
| HMAC-SHA-1 (A7626)                 | KAT         | CAST      | On-Demand | Initialization         |

Table 22: Conditional Periodic Information

## 10.4 Error States

| Name                 | Description                                                              | Conditions     | Recovery Method | Indicator                                                                                                                                                                                                           |
|----------------------|--------------------------------------------------------------------------|----------------|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Critical Error State | FortiClient Logs the Specific Test or Tests that failed in cryptdlog.txt | Boot Up Manual | Power-Cycle     | Check Logs<br>2025-08-13 01:08:03.763 [4824, 2300] - CryptdFipsEnterErrorMode()-> msg = FIPS: Running FIPS self-test ...<br>FIPS Error: AES-CBC self-test failed.<br>FIPS Error: Running FIPS self-test --> failed. |

## 10.5 Operator Initiation of Self-Tests

The startup self-tests can also be initiated on demand from the Windows command prompt using the following commands:

- `FCCryptd.exe fips kat all` (to initiate all self-tests)
- `FCCryptd.exe fips kat <test>` (to initiate a specific self-test)
- `FCCryptd.exe fips <test>` (to list available tests)

## 10.6 Additional Information

The results of the self-tests are logged to a file. For a default installation of FortiClient on the C: drive, you can view the `Cryptdlog.txt` file in: `C:\Program Files\Fortinet\FortiClient\logs\fips`.

When the self-tests are run, each implementation of an algorithm is tested. For example, when the AES self-test is run, all AES implementations are tested

## 11 Life-Cycle Assurance

### 11.1 Installation, Initialization, and Startup Procedures

The FortiClient FIPS 140-3 installer packages are installed as a standalone crypto module alongside a FortiClient installation. Operating the module without following the guidance in Section 11 will result in non-compliant behavior and is outside the scope of this Security Policy.

The basic steps in the deployment process are as follows:

1. Extract the FortiClient zip file FortiClientSetup\_7.4.4.8927\_x64.zip
2. Open a terminal with Administrator privileges in the extracted directory and run the following command:  
`msiexec /i forticlient.msi NO_FEATURE_SELECT=1  
ADDLOCAL=Feature_Basic,Feature_Core,Feature_EndPointNAC,Feature_SSLVPN,  
Feature_VPN,Feature_Vulnerability,Feature_FIPS`
3. The installer window should open. Follow the instructions to successfully install the FortiClient software.
4. During the process, ensure that the installation directory is set to C:/Program Files/Fortinet/FortiClient

It is important to note that the version number on the zip files includes the build number. Thus, to verify the installed version, open a Windows Command Prompt window as an administrator and run the following command:

- `fccryptd.exe fips version`

The command runs the software integrity test and displays the module version as shown in the following image.

```
> .\FCCryptd.exe fips version  
  
FIPS: Integrity test passed (FCCryptd.exe).  
FIPS: Integrity test passed (FCCryptDLL.dll).  
FIPS: Integrity test passed (libcrypto-3-x64.dll).  
FIPS: Integrity test passed (libssl-3-x64.dll).  
FIPS: Integrity test passed (fips.dll).  
FIPS: Integrity test passed (fipsmodule.cnf).  
FortiClient Cryptographic Module 1.0
```

Launch the FortiClient application as you would launch any other Windows application. Failure to perform the steps outlined in this section will result in the module operating in a non-compliant state.

### 11.2 Administrator Guidance

FortiClient administrator guidance is publicly available from the Fortinet Technical Documentation site. The key administrator guidance documents are listed below:

- FortiClient Administration Guide 7.4
- FortiClient Administration Guide 8.0

### 11.3 Non-Administrator Guidance

All guidance is included in the FortiClient Administration Guide.

## 12 Mitigation of Other Attacks

Not Applicable.



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