CMVP
Conformance through Testing

FIPS VALIDATED 140-2

NIST
National Institute of Standards and Technology
Technology Administration, U.S. Department of Commerce

Cryptographic Module Validation Program

Where security starts ….

Testing methods for protecting biometric templates

Randall J. Easter
Director, NIST CMVP
March 05, 2010

Agenda

- What is a Crypto Module?
- Organization
- CMVP
- FIPS 140-2
- CST Laboratories
- Testing and Validation Process
- Status
- Maintaining validation
- Cryptographic Algorithm Validation Program
- Benefits
- Contacts

What is a Cryptographic Module?

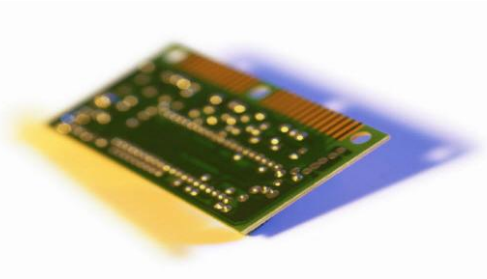
- A set of hardware, software or firmware that implements at least one Approved cryptographic function and service
- Vendor defines the Cryptographic Module Boundary
  - Integrated Circuit
  - Integrated Circuit Plus Plastic Housing
  - Product
- A defined Approved Mode of Operation

Cryptographic Module vs. Product

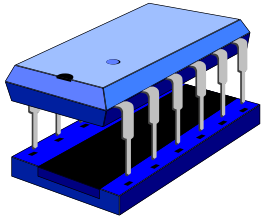
"Area" defined by the cryptographic boundary

- Could be a complete product

- Could be a sub-system of a larger product

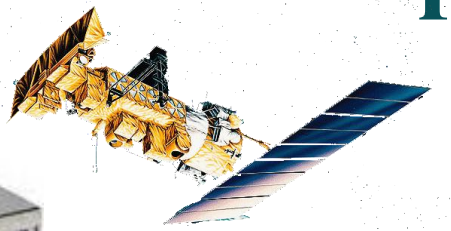


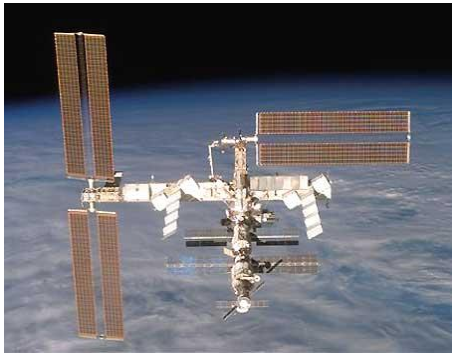
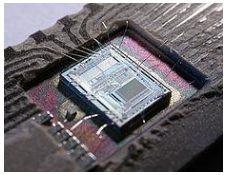
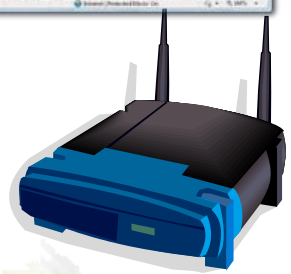
- Could be component of a product



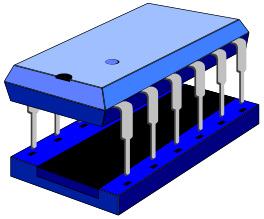
Examples





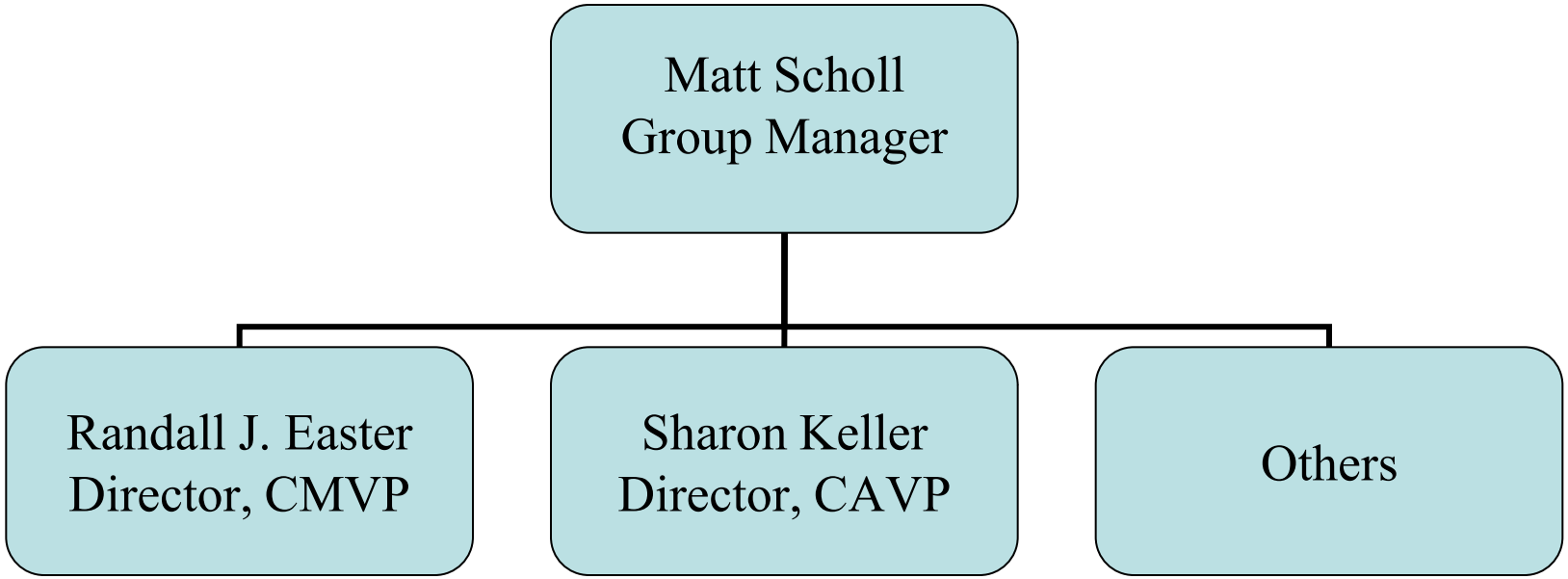



NIST Information Technology Laboratory

Computer Security Division Security

Management and Assurance Group



Purpose: to test and validate cryptographic modules to FIPS 140-2

Purpose: to test and validate Approved algorithmic implementations

Cryptographic Module Validation Program (CMVP)

- Established by NIST and the Communications Security Establishment Canada (CSEC) in 1995
- Original FIPS 140-1 requirements and updated FIPS 140-2 requirements developed with industry input
- Independent 3rd party conformance testing

International Recognition

- **International Standards Organization**
  - ISO/IEC 19790 *Security Requirements for Cryptographic Modules*
    - *Published March 2006*
  - ISO/IEC 24759 *Test requirements for cryptographic modules*
    - *Published July 2008*
- **Japanese Government Relationship (October 11, 2006)**
  - Japan Cryptographic Module Validation Program (JCMVP)
    - Managed by the Information-Technology Promotion Agency (IPA), Japan
    - Support Japanese Laboratories to become accredited by NVLAP
    - Assist JCMVP regarding CMVP requirements and technical guidance

FIPS 140-2 and Applicability

- FIPS 140-2 specifies the security requirements that will be satisfied by a cryptographic module utilized within a security system protecting sensitive but unclassified information.
  - The standard provides four increasing, qualitative levels of security: Level 1, Level 2, Level 3, and Level 4.
  - The security requirements cover areas which include cryptographic module specification, cryptographic module ports and interfaces; roles, services, and authentication; finite state model; physical security; operational environment; cryptographic key management; electromagnetic interference/electromagnetic compatibility (EMI/EMC); self-tests; design assurance; and mitigation of other attacks.
- U.S. Federal organizations must use validated cryptographic modules
- With the passage of the Federal Information Security Management Act of 2002, there is no longer a statutory provision to allow for agencies to waive mandatory Federal Information Processing Standards.
  - Also includes enforcement mechanisms

FIPS 140-2: Security Areas

1. Cryptographic Module Specification
2. Cryptographic Module Ports and Interfaces
3. Roles, Services, and Authentication
4. Finite State Model
5. Physical Security
6. Operational Environment
7. Cryptographic Key Management
8. EMI/EMC requirements
9. Self Tests
10. Design Assurance
11. Mitigation of Other Attacks

Appendix C – Security Policy

Annex A – Approved Security Functions

Annex B – Approved Protection Profiles

Annex C – Approved RNGs

Annex D – Approved Key Establishment

Section 4.1 Cryptographic Module Specification

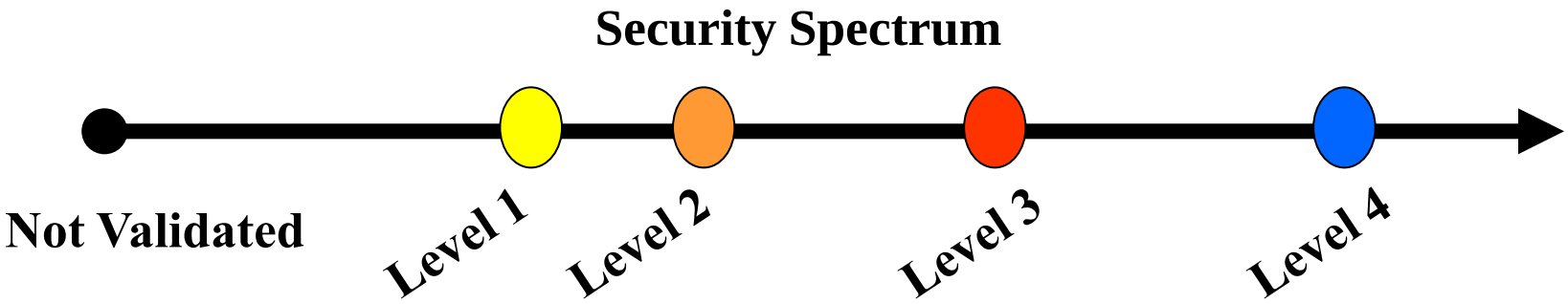
- Define the Cryptographic Module Boundary
  - Integrated Circuit
  - Integrated Circuit Plus Plastic Housing
- Define Approved Mode of Operation
- Provide Description of the Module
  - Hardware
  - Software
  - Firmware

Appendix C - Security Policy

- Mandatory document developed by the vendor
- Security policy shall contain:
  - Description of the module: picture if hardware
  - Tested operating system if software
  - Description of how to place the module in FIPS Approved Mode
  - Roles, services, authentication method and strength of authentication
  - List of CSPs, and services and roles accessing them
  - Physical security policy
  - Mitigation of other attacks

FIPS 140-2: Security Levels

How does the module itself protect Critical Security Parameters?



- Level 1 is the lowest, Level 4 most stringent
- Requirements are primarily cumulative by level
- Overall rating is lowest rating in all sections
- Validation is applicable when a module is configured and operated in accordance with the level to which it was tested and validated

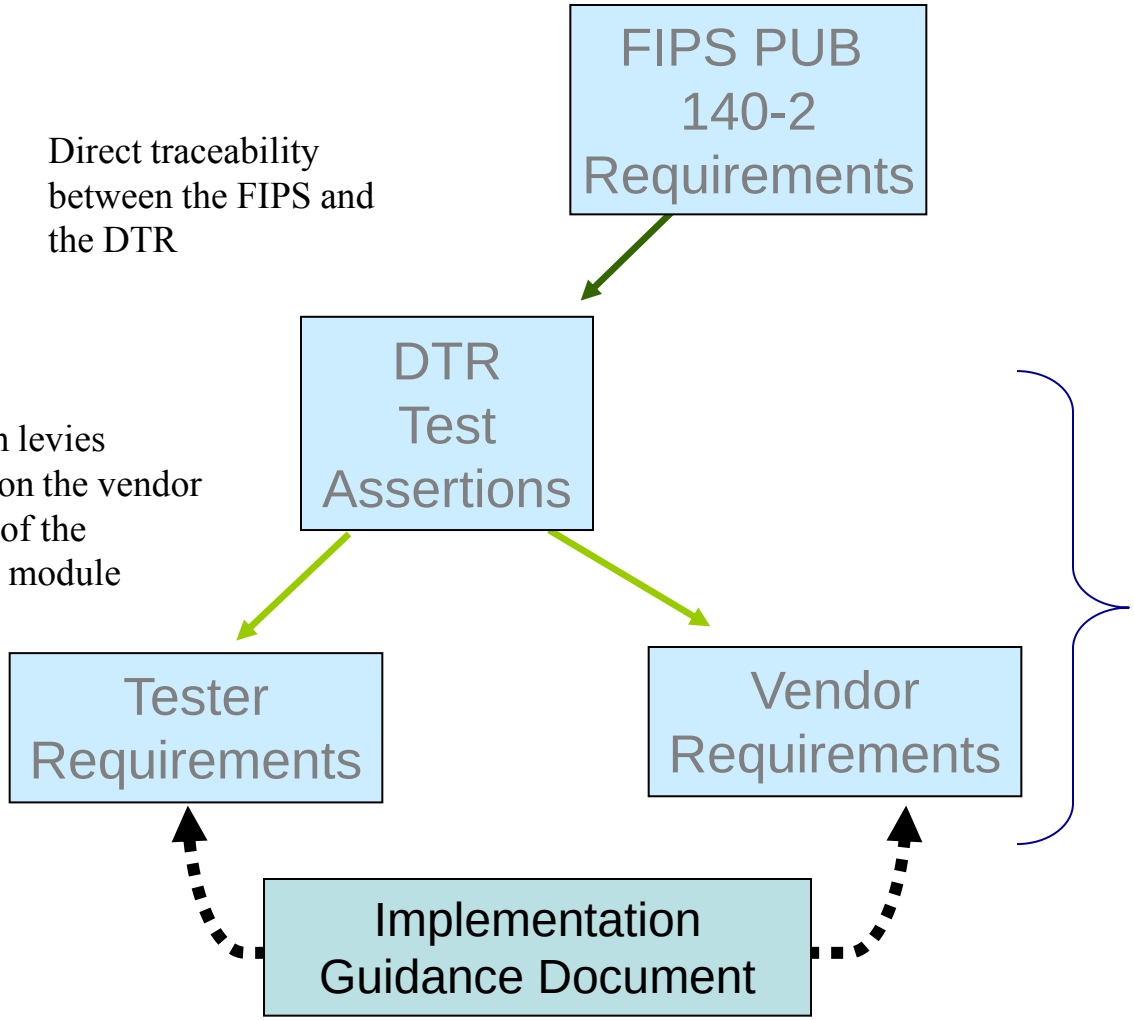
The cryptography is not dependant on the security level

Section 4.5: Physical Security

- **Level 1**: Production Grade Components
- **Level 2**: Provide Evidence of an Attack
  - Tamper evident seals
  - Opacity
- **Level 3**: Deterrence of Moderately Aggressive Attacks
  - Strong enclosure or covered with hard coating or potting material
  - Tamper response and zeroization for any doors or removable covers
- **Level 4**: Deterrence of Aggressive Attacks
  - Attacker assumed to have prior knowledge, specialized tools, unfettered access and no time restriction.
  - Tamper Response and Zeroization Envelope
  - Mitigation of Temperature and Voltage Attacks

Direct traceability between the FIPS and the DTR

Each assertion levies requirements on the vendor and the tester of the cryptographic module



Derived Test Requirements

CMVP Testing: Process

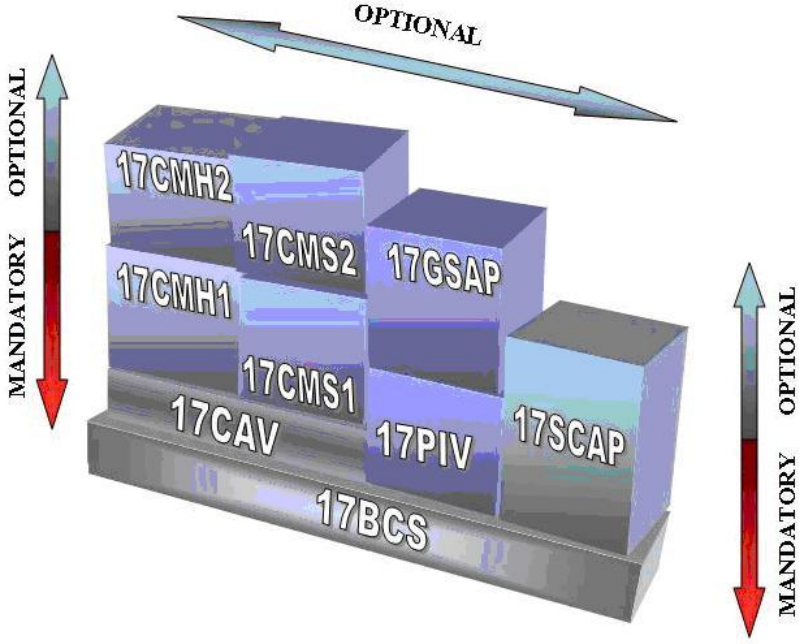
- CMVP
  - Conformance testing of cryptographic modules using the Derived Test Requirements (DTR)
  - Not evaluation of cryptographic modules. Not required are:
    - Vulnerability assessment
    - Design analysis, etc.
- Laboratories
  - Test submitted cryptographic modules
- NIST/CSEC
  - Validate tested cryptographic modules

NVLAP

National Voluntary Laboratory Accreditation Program

Accredits laboratories in 23 technologies

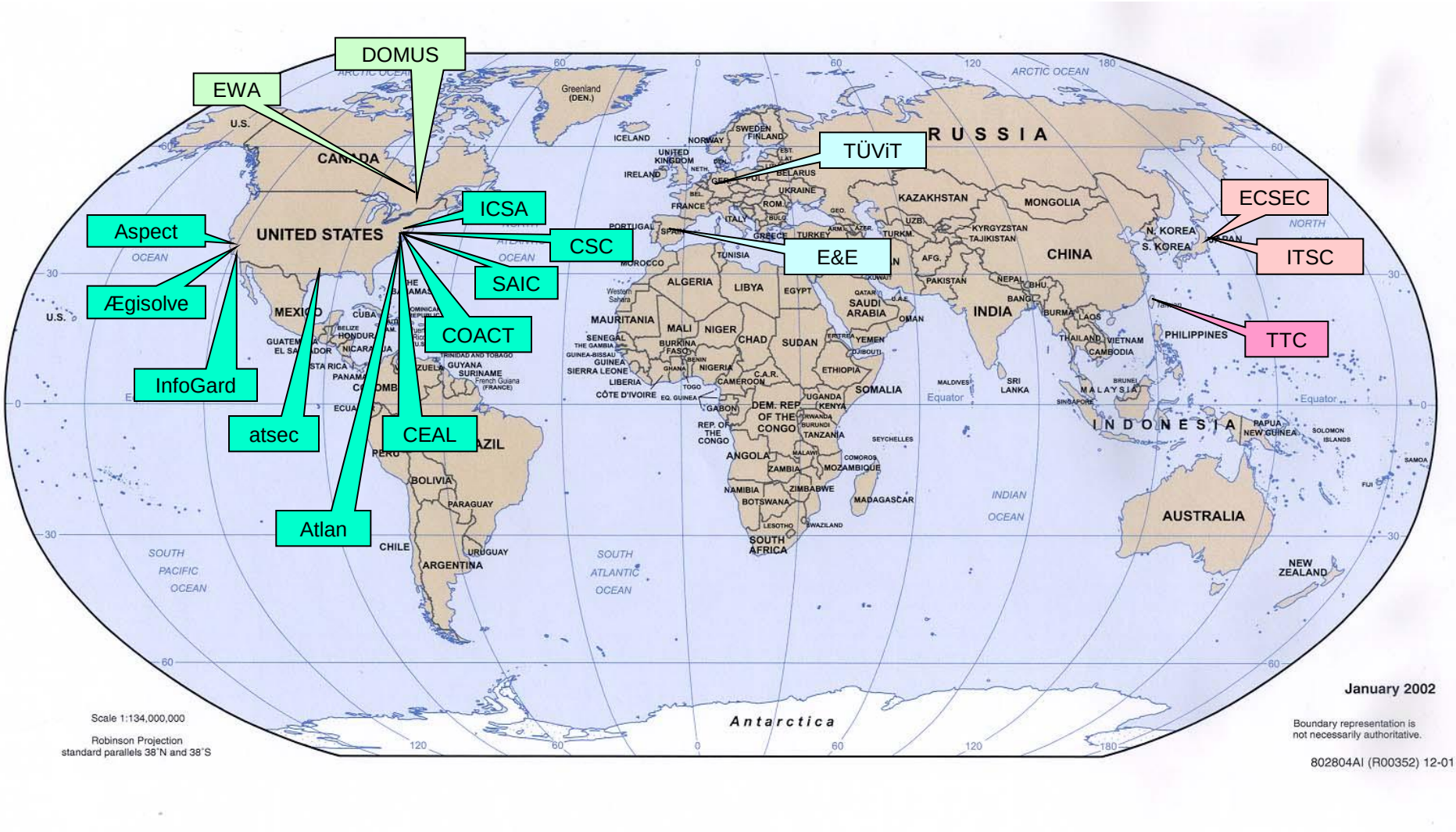
- Handbook 150-17:
  Cryptographic and Security Testing
  - Conformance Test Methods
    - FIPS 140-1 and FIPS 140-2 Levels 1, 2 and 3 testing
    - FIPS 140-1 and FIPS 140-2 Level 4 testing
    - FIPS 201 PIV card application testing
    - FIPS 201 PIV middleware testing
    - FIPS 201 Evaluation Program
    - SCAP



Cryptographic and Security Testing (CST) Laboratories

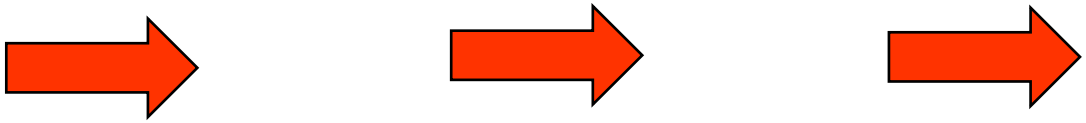
- Seventeen NVLAP-accredited testing laboratories
  - True independent 3rd party accredited testing laboratories
  - Cannot test and provide design assistance
  - US, Canada, Germany, Spain, Japan and Taiwan
    - Additional domestic and international labs in FY10

CST Accredited Laboratories



CMVP Testing and Validation Flow

Vendor	CST Lab	CMVP NIST and CSEC	User
Designs and Produces Hardware • Software • Firmware	***Tests for Conformance*** Derived Test Requirements	***Validates***	***Specifies and Purchases***
Define Boundary **Define Approved Mode of Operation** **Security Policy**	**Algorithm Testing** **Documentation Review** **Source Code Review** **Operational and Physical Testing**	**Review Test Results** **Ongoing NVLAP Assessment** **Issue Certificates** **NIST Cost Recovery Fee**	**Security and Assurance** **Applications or products with embedded modules**



CMVP
Conformance through Testing

FIPS VALIDATED 140-2

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NVLAP Accredited FIPS 140-2 CST Lab

Vendor selects a lab;
Submits module for testing;
Module IUT

Cryptographic Module Vendor

Lab submits questions for guidance and clarification

Test for conformance to FIPS 140-2

Module Certificate

Testing and Implementation Guidance

Testing and Report Generation

Module Test Report to CMVP for review

CMVP

Module Validation

List of Validated FIPS 140-2 Modules

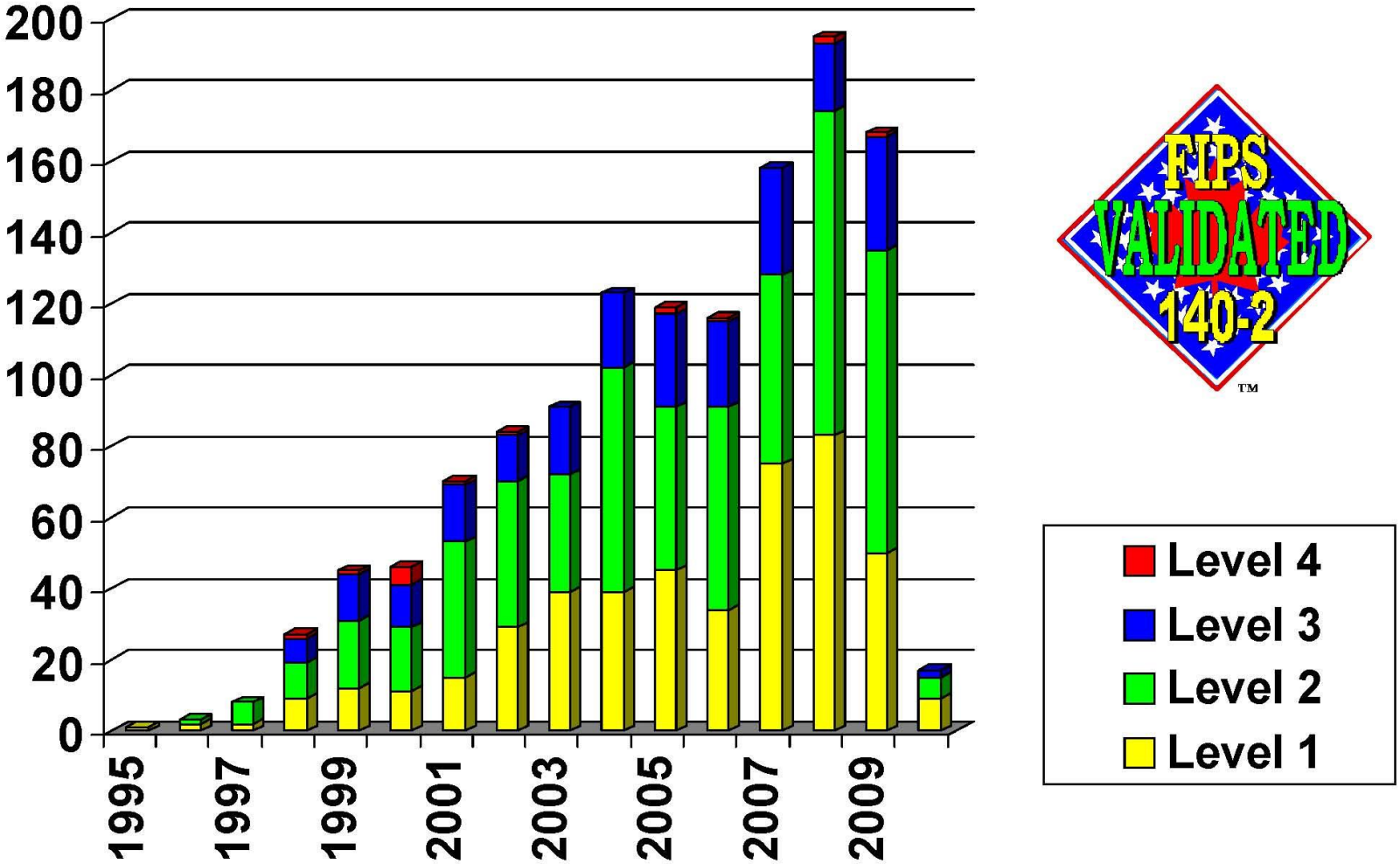
Module validation entries at www.nist.gov/cmvp

CMVP Status

- Continued record growth in the number of cryptographic modules validated
  - 1264 Validations representing over 2624 modules
- All four security levels of FIPS 140-2 represented on the Validated Modules List
- Over 305 vendors of validated modules

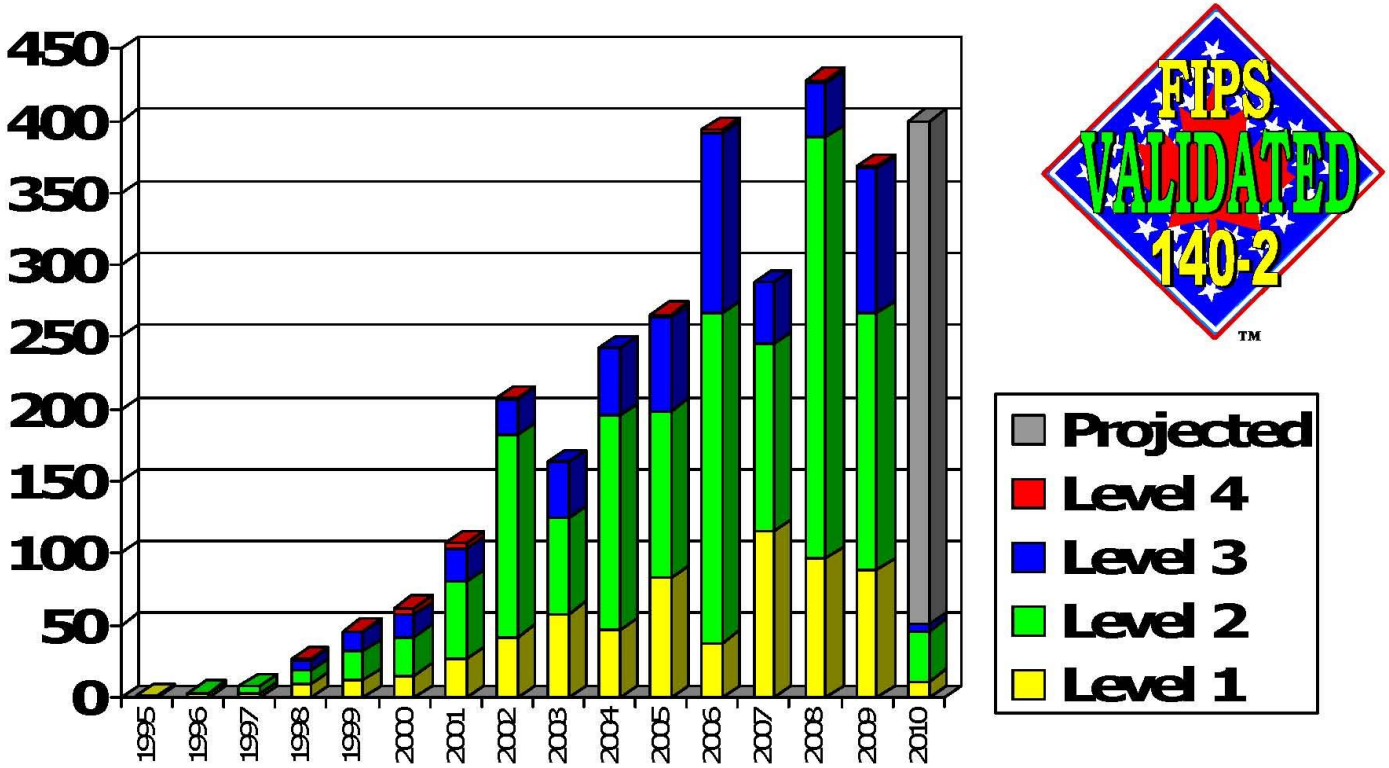
FIPS 140-1 and FIPS 140-2 Validation Certificates by Year and Level

(March 4 2010)



FIPS 140-1 and FIPS 140-2 Validated Modules by Year and Level

(February 28, 2010)



Modules In Process Listing

- Posted each Friday afternoon - http://csrc.nist.gov/groups/STM/cmvp/inprocess.html
- Describes five stages that a module report is progressing:
  - **Implementation Under Test**
  - **Review Pending**
  - **In Review**
  - **Coordination**
  - **Finalization**

DISCLAIMER: The Cryptographic Module Validation Program (CMVP) FIPS 140-1 and FIPS 140-2 Modules In Process List is provided for information purposes only. Participation on the list is voluntary and is a joint decision by the vendor and Cryptographic and Security Testing (CST) laboratory. Modules are listed alphabetically by name. Blank entries indicate modules in process but joint decision made not to post. Posting on the list does not imply guarantee of final FIPS 140-1 or FIPS 140-2 validation.

FIPS 140-2 IG G.8 - Revalidation

- **No Security Relevant Changes**
  - CMTL tests changes
  - Letter sent to CMVP
  - Existing certificate entry updated
- **Additional Security Relevant Features Claimed**
  - Testing of previously un-tested features
  - CMTL submits revalidation test report
  - Existing certificate entry updated
- **<30% Security Relevant Changes**
  - Testing of new features and operational regression testing
  - CMTL submits revalidation test report
  - New certificate issued
- **Physical boundary only Change**
  - Testing of physical features
  - CMTL submits physical test report
  - Existing certificate entry updated
- **New Module**
  - Full testing by CMTL
  - CMTL submits full test report
  - New Certificate

Using FIPS Validated Cryptographic Modules

- Cryptographic modules *may* be embedded in other products
  - Applicable to hardware, software, and firmware cryptographic modules
  - Must use the validated version and configuration
  - e.g. software applications, cryptographic toolkits, postage metering devices, radio encryption modules
- Does not require the validation of the larger product
  - Larger product is deemed compliant to requirements of FIPS 140-2

- Certificate number
- Vendor Name
  - Address
  - Contact
- Module Name
  - Version
  - Security Policy
  - Certificate
- Module Type
- Validation Date
- Overall Level
  - Section Levels
  - Algorithms
  - Embodiment
  - Vendor supplied text

CMVP Main Page

Validated FIPS 140-1 and FIPS 140-2 Cryptographic Modules

1995-1997, 1998, 1999, 2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008, ***2009,***

All

Last Update: 10/28/2009

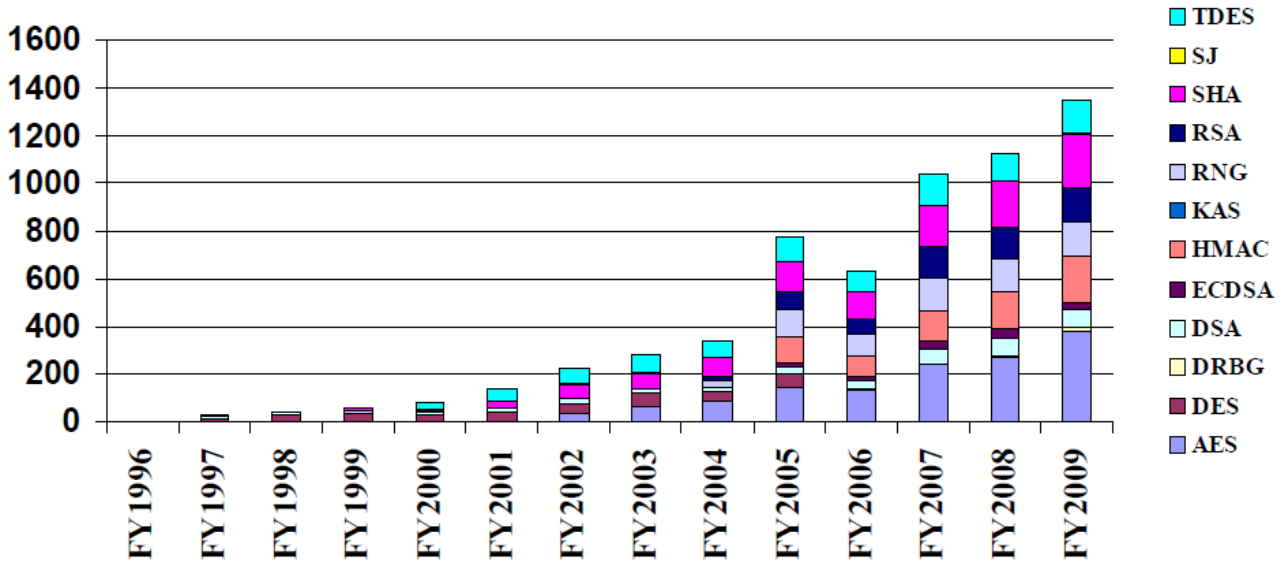
Cert#	Vendor	Cryptographic Module	Module Type	Val. Date	Level / Description
1219	Check Point Software Technologies Ltd. 12007 Sunrise Valley Dr. Suite 130 Reston, VA 20191 USA -Malcolm Levy TEL: 703-234-0100 x218	VPN-1 (Firmware Version: NGX R65 with hot fix HFA 30) *(When operated in FIPS mode)* Validated to FIPS 140-2 Security Policy Certificate	Firmware	10/27/2009	***Overall Level:*** **1** -Roles, Services, and Authentication: Level 2 -Design Assurance: Level 2 -Tested: Dell PowerEdge 1750 with Check Point SecurePlatform Operating System, version NGX R65 HFA 30 *-FIPS-approved algorithms:* Triple-DES (Certs. #338 and #733); AES (Cert. #257); SHS (Certs. #332 and #890); HMAC (Certs. #67 and #502); RSA (Certs. #66 and #132); RNG (Cert. #90)

Cryptographic Algorithm Validation Program (CAVP)

- Purpose: Provide assurance that cryptographic algorithm implementations adhere to the specifications detailed in the associated cryptographic algorithm standards.
  - Originally part of CMVP – algorithm validation tests were not standardized
- The validation of cryptographic algorithm implementations is a prerequisite to the validation of cryptographic module

Cryptographic Algorithm Validation Program (CAVP)

CAVP Validation Status By FYs



Benefits! … Making a Difference

- **Cryptographic Modules Surveyed (during testing)**
  - **Contained at least one non-conformance**
    - 59% Level 1 and Level 2 Modules
    - 65% Level 3 and Level 4 Modules
  - 96.3% FIPS Interpretation and Documentation Errors
  - ~10% Algorithm Implementation Errors
- **Areas of Greatest Difficulty**
  - Key Management
  - Physical Security
  - Self Tests
  - Random Number Generation

www.nist.gov/cmvp

- FIPS 140-1, FIPS 140-2 and FIPS 140-3 *draft*
- Derived Test Requirements (DTR)
- Annexes to FIPS 140-2
- Implementation Guidance
- Points of Contact
- Laboratory Information
- Validated Modules List

Points of Contact

NIST

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CSEC

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