

Vormetric, Inc
**Vormetric Data Security Manager Virtual
Appliance Module**
Software Version 5.3.0
**FIPS 140-2 Non-Proprietary
Security Policy
Level 1 Validation
August 25, 2016**

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1 Introduction

1.1 Purpose

This is a non-proprietary FIPS 140-2 Security Policy for the Vormetric Data Security Manager Virtual Appliance software version 5.3.0 cryptographic module. It describes how this module meets all the requirements as specified in the FIPS 140-2 Level 1 requirements. This Policy forms a part of the submission package to the validating lab.

FIPS 140-2 (Federal Information Processing Standards Publication 140-2) specifies the security requirements for a cryptographic module protecting sensitive information. Based on four security levels for cryptographic modules, this standard identifies requirements in eleven sections.

1.2 References

This Security Policy describes how this module complies with the eleven sections of the Standard:

- For more information on the FIPS 140-2 standard and validation program please refer to the NIST website at csrc.nist.gov/groups/STM/cmvp/index.html
- For more information about Vormetric, please visit www.vormetric.com

1.3 Document History

Authors	Date	Version	Comment
Peter Tsai, Ashvin Kamaraju, Steve He, Oliver Galvez	8 September 2015	1.0	Initial draft
Peter Tsai	10 September 2015	1.1	Update for Virtual Appliance
Peter Tsai	22 September 2015	1.2	Update algorithm table
Peter Tsai	5 December 2015	1.3	Update algorithm CAVP
Peter Tsai	14 January 2016	1.4	Add 3DES certificate #, update table gap, fix table alignment, update table 7, and self-test list
Peter Tsai	15 January 2016	1.5	Fix reference to table 7
Peter Tsai	16 April 2016	1.6	Revise ECDHE to EC DH, replace firmware with software, update table of contents, and correct inconsistent capitalization, add additional information for non-approved algorithms and services used for web console key
Peter Tsai	28 April 2016	1.7	Update table-4 and table-8
Peter Tsai	1 June 2016	1.8	Update table 6, DRBG, NDRNG, and non-tested platforms
Peter Tsai	12 July 2016	1.9	Minor update in table 8 and change item to CSP.
Peter Tsai	25 August 2016	1.91	Minor update in table 6, table 7, table 8

2 Product Description

The Vormetric Data Security Manager Virtual Appliance is a multi-chip standalone software cryptographic module operating in virtualization environment. The Vormetric Data Security Manager is the central point of management for the Vormetric Data Security product. It manages keys and policies, and controls Vormetric Transparent Encryption Agents (VTE). These agents contain a Cryptographic Module, which has been validated separately from this module.

The module implements AES, RSA, ECDSA, NIST SP 800-90A DRBG, SHA-256, SHA-384, HMAC-SHA-256, HMAC-SHA-384, and TLS KDF algorithms in the approved mode.

The product meets the overall requirements applicable to Level 1 security for FIPS 140-2, with Key Management, Roles, Services and Authentication, and Design Assurance meeting the Level 3 requirements.

Security Requirements Section	Level
Cryptographic Module Specification	1
Cryptographic Module Ports and Interfaces	1
Roles and Services and Authentication	3
Finite State Machine Model	1
Physical Security	N/A
Operational Environment	1
Cryptographic Key Management	3
EMI/EMC	1
Self-Tests	1
Design Assurance	3
Mitigation of Other Attacks	N/A
Overall Level of Certification	1

Table 1 - Module Compliance

2.1 Cryptographic Boundary

The Vormetric Data Security Manager Virtual Appliance (DSM) is a software security module designed to execute on a general purpose computer hardware platform running hypervisor. As a software cryptographic module, the virtual appliance has no physical characteristics. The module must rely on physical characteristics of the host system on which it runs. The module supports the physical interfaces of the Supermicro X9DAX. See Figure 1 for a block diagram of the physical system. The module utilizes physical interfaces of the tested platform hosting the virtual environment upon which the module is installed. The hypervisor running on the physical system controls and maps the module's virtual interfaces to that of physical interfaces including processor, memory, network and hard disk.

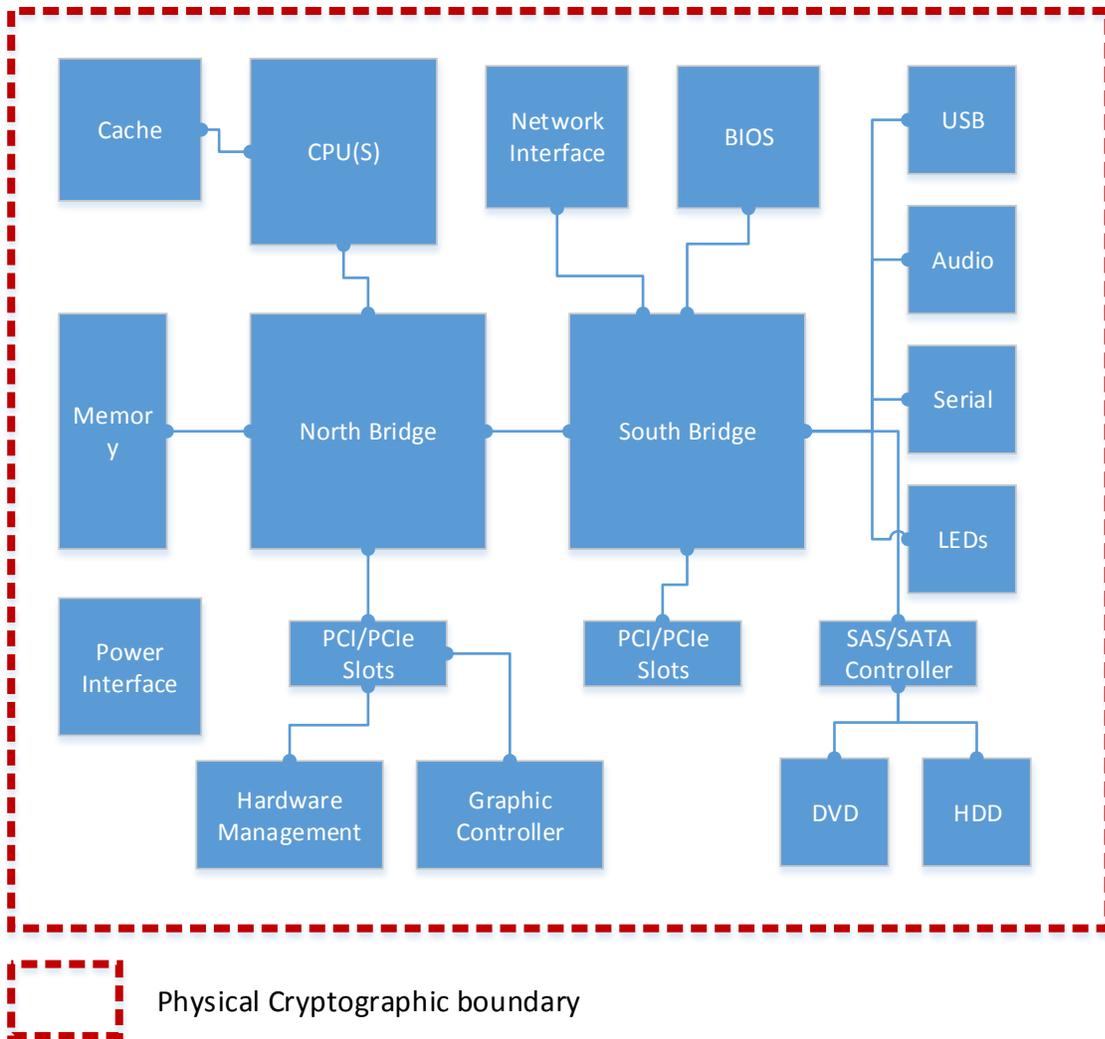


Figure 1 – Physical Module Cryptographic Boundary

The logical cryptographic boundary of the module consists of Vormetric Data Security Manager Virtual Appliance and the operating system running inside the hypervisor as shown in Figure 2. VMWare ESXi is the hypervisor that interacts with DSM virtual appliance.

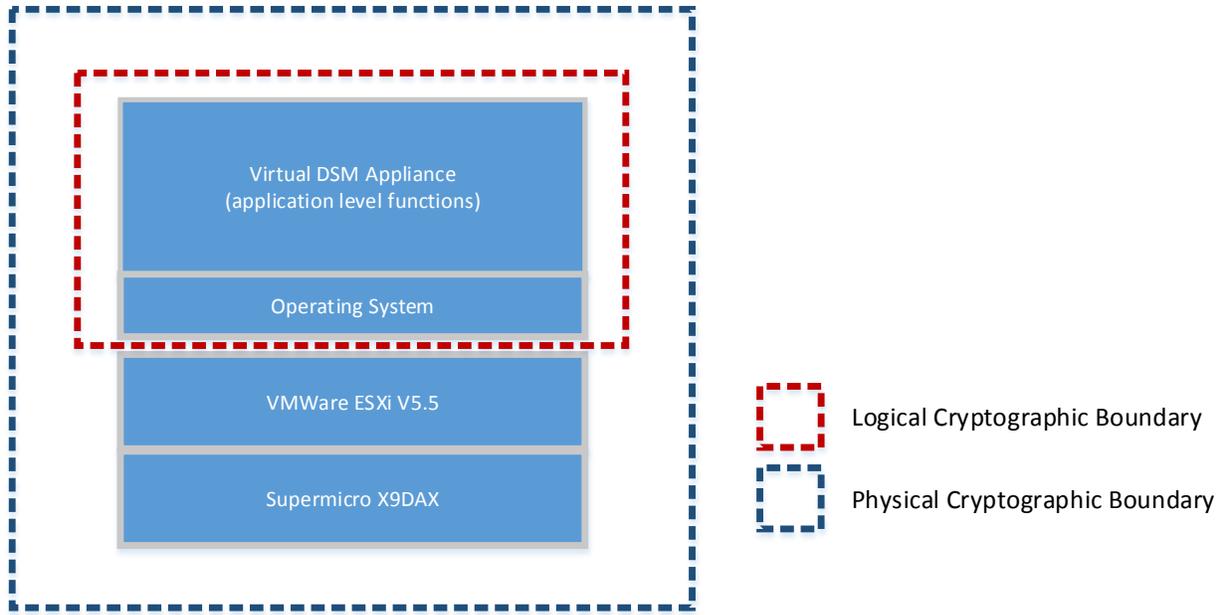


Figure 2. Logical Cryptographic Boundary

3 Module Ports and Interfaces

The module is considered to be a multi-chip standalone module designed to meet FIPS 140-2 Level 1 requirements. The module has the following interfaces

Data Input interface: The virtual network interface cards are defined as the data input interface through which data is input to the module.

Data Output Interface: The virtual network interface cards are defined as the data output interface through which data is output from the module.

Control input interface: The virtual network interface cards and virtual keyboard are interfaces by which the module can be controlled.

Status output interface: The virtual network interface cards, and virtual VGA port are status output interfaces.

The following table describes the relationship between the logical and physical interfaces.

<i>FIPS 140-2 Interface</i>	<i>Logical Interface</i>	<i>Physical Interface</i>
Data Input interface	Data input parameters of API function calls	Ethernet
Data Output interface	Data output parameters of API function calls	Ethernet
Control Input interface	Control input parameters of API function calls that command the module	Ethernet, Keyboard
Status Output interface	Status output parameters of API function calls that show the status of the module	Ethernet, VGA port
Power Interface		Variable DC power connector (Power supplies shipped with 100-240V power interface), LEDs

Table 2 – Mapping Physical and Logical Interfaces

4 Roles, Services, and Authentication

The Vormetric Data Security Manager Virtual Appliance module supports five distinct roles: System Administrator, Network Administrator, Domain Administrator, Security Administrator, and Network User. Within the Security Administrator role there are four sub-roles: audit, key, policy, and host. The module implements identity based authentication using passwords for the Crypto-Officer accounts. An optional second factor of authentication is available with an RSA token. 2048-bit RSA certificates or ECDSA P-384 certificates are used for the “Network user” account – these correspond to a Vormetric Transparent Encryption Agent instance, which is a separately validated product.

4.1 Identification and Authentication

<i>Role</i>	<i>Group</i>	<i>Type of Authentication</i>	<i>Authentication Data</i>
System Administrator	Crypto-Officer	Identity Based	8-character minimum/32-character maximum alphanumeric password plus optional Two Factor Authentication (TFA) using an RSA token
Network Administrator	Crypto-Officer	Identity Based	8-character minimum/32-character maximum alphanumeric password plus optional TFA using an RSA token
Domain Administrator	Crypto-Officer	Identity Based	8-character minimum/32-character maximum alphanumeric password plus optional TFA using an RSA token
Security Administrator	Crypto-Officer	Identity Based	8-character minimum/32-character maximum alphanumeric password plus optional TFA using an RSA token
Network User	User	Identity Based	2048-bit RSA Certificate or ECDSA P-384 Certificate

Table 3 - Authentication Types

4.2 Strengths of Authentication Mechanisms

Authentication Mechanism	Strength of Mechanism
<p>Username and password</p> <p>(+ optional TFA with RSA token)</p>	<p>The module enforces at minimum 8-character passwords chosen from 76 human readable ASCII characters. The maximum password length is 32 characters.</p> <p>The UI module enforces an account lockout after a certain number of failed login attempts. This is configurable by a System Administrator; the default is that after 3 failed login attempts the account is locked for 30 minutes. The most lenient that it can be configured is to lock the account for 1 minute after 10 failed login attempts. This leads to a theoretical maximum for an attacker to attempt password entry 10 times per minute. In addition, the Network Administrator enforces an account lockout after 5 attempts for CLI access. The deny time is 5 seconds after each failed attempt. This leads to a theoretical maximum for an attacker to attempt password entry 5 times per minute. After 5th failed attempts, the CLI account is locked up to 15 minutes. CLI lockout time is not configurable and a process wakes up every 15 minutes to clear the lockout account.</p> <p>Taking into account that the password policy requires minimum 1 uppercase, 1 numbers, and 1 special character; thus for 8-character password the probability of a successful random attempt is $1/(26 \times 26 \times 10 \times 14 \times 76 \times 76 \times 76 \times 76)$ or $1/(3,157,396,336,640)$. That is less than 1 in 1 million. The probability of success with multiple consecutive attempts in a one minute period is $10/(3,157,396,336,640)$, which is less than 1 in 100,000.</p> <p>Two Factor Authentication is also optionally available using RSA tokens. This second factor decreases the probability of a successful random attempt significantly further.</p>
<p>RSA Certificate</p>	<p>The module supports RSA 2048-bit certificates, which have a minimum equivalent computational resistance to attack of 2^{112}. There is no programmatic limit to the number of attempts in a given time frame, but it is limited to hardware and network latency. We can use an unrealistically high rate of one million attempts per second (60 million per minute) for our purposes in this calculation.</p> <p>Thus the probability of a successful random attempt is 2^{112}, which is less than 1 in 1 million. The probability of success with multiple consecutive attempts in a one minute period is $60,000,000/2^{112}$, which is less than 1/100,000.</p>
<p>ECDSA Certificate</p>	<p>The module supports Elliptical Curve Cryptography P-384 certificates, which have a minimum equivalent computational resistance to attack of 2^{192}. There is no programmatic limit to the number of attempts in a given time frame, but it is limited to hardware and network latency. We can use an unrealistically high rate of one million attempts per second (60 million per minute) for our purposes in this calculation.</p> <p>Thus the probability of a successful random attempt is 2^{192}, which is less than 1 in 1 million. The probability of success with multiple consecutive attempts in a one minute period is $60,000,000/2^{192}$, which is less than 1/100,000.</p>

Table 4 – Strengths of Authentication Mechanisms

4.3 Roles and Services

Roles in the Vormetric Data Security Manager apply to *Administrative Domains*. An administrative domain is a logical partition that is used to separate administrators and the data they access from other administrators. Administrative tasks are performed in each domain based upon each administrator's assigned role.

- The **System Administrator** role operates outside of domains. It creates domains and assigns administrators of the Domain Administrator role to the domains.
- The **Domain Administrator** role primarily serves to assign administrators into a domain.
- **Security Administrators** exist inside a domain, and are responsible for managing hosts, policies, keys, and audit settings.
- The **Network Administrator** role is used for network and system configuration only. It is a special, low-level type of administrator that does not interact with the other roles.
- The **Network User** corresponds to an instance of a Vormetric Transparent Encryption Agent.

The Vormetric Data Security Manager supports the services listed in the following table. The table shows the privileges of each role on a per-service basis. The privileges are divided into:

- **R:** The CSP is **read** or referenced by the service.
- **W:** The CSP is **written** or updated by the service.
- **E:** The CSP is **executed** by the service. (The CSP is used as part of a cryptographic function.)

The mapping between Authorized Services and Keys can be found in Table 7.

<i>Authorized Services</i>	<i>System Administrator</i>	<i>Network Administrator</i>	<i>Domain Administrator</i>	<i>Security Administrator</i>	<i>Network User</i>
Run Power-On Self-Test		E			
Show basic status on dashboard	R		R	R	
Manage preferences, LDAP, RSA tokens, SNMP, etc	RW		R		
Email and syslog setup	RW		RW	R	
Create and delete administrator accounts; Change and reset passwords	RWE		RWE		
Create and delete domains	RW		R		
Assign administrators to domains	RW		RW		
Create, import, export Wrapper Key	RWE				
Backup and restore	RWE				
Software upgrade	RWE	RWE			
Shutdown, reboot, restart Security Server		E			
Generate CA certificate		RWE			
Upload signed web console certificate	RWE				
Generate server certificate		RWE			
Configure High Availability	RWE	RWE			
View, Configure Network Settings		RW			

Authorized Services	System Administrator	Network Administrator	Domain Administrator	Security Administrator	Network User
Set date, time, NTP, etc		RW			
Zeroize all data and all key material		WE			
Create File System Keys (Agent Keys) and Certificates				RWE	
Create Vault Keys and Certificates				RWE	
Create Agent Database Backup Keys				RWE	
Create, modify, and delete file system policies				RW	
Import and Export file system policies				RW	
Create, modify, and delete agent database backup policies				RW	
Import and export keys				RWE	
Create and delete Signatures				RW	
Create and export Reports	RW		RW		
View, delete, and export Log	RW		RW	RW	
Apply guard points using policies (and remove them)				RW	
Submit a CSR and obtain a certificate					RWE
Obtain host/policy/key info					RE

Table 5 - Privileges of each role

5 Physical Security

The Vormetric Data Security Manager Virtual Appliance is a multiple-chip standalone cryptographic software module. It does not include physical security mechanisms. Thus, the FIPS 140-2 requirements for physical security are not applicable.

6 Operational Environment

The module was tested and found to be compliant with FIPS 140-2 level 1 requirement on the following operational environment and hardware. All cryptographic keys and CSPs are under the control of the guest operating system.

- Supermicro X9DAX server
 - Intel Xeon CPU (E5-2670V2 @2.5GHz)
 - 131MB of memory
 - 3.26TB of local storage in 8 removable drive bays
 - DVD-ROM
 - 2 RJ45 1Gb network
 - 6 USB
 - 1 VGA
 - 2 removal power supply modules with AC power cords and fault LEDs
 - 6 Status LEDs
 - Power and reset buttons

- VM Environment
 - VMWare ESXi 5.5.0
 - VM version 8
 - Guest Memory: 4GB
 - Provisioned Storage: 104GB
 - Guest O.S: Centos 5.11 (64-bit)

7 Cryptographic Key Management

7.1 Cryptographic Keys and CSPs

The following table summarizes the module's keys and CSPs (Critical Security Parameters):

Key		Generation / Input	Storage	Use
800-90A CTR_DRBG "V"		Internally gathered	-	DRBG initialization
800-90A CTR_DRBG "Key"		Internally gathered	-	DRBG initialization
HMAC Integrity Key (HMAC-SHA 256-bit with 256-bit key)		At vendor facility	Incorporated into product	Protects the integrity of the module
Certificate Authority Key (for TLS Server)	ECDSA P-384	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Signs certificates used when the DSM acts as a TLS server
	2048-bit RSA	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Signs certificates used when the DSM acts as a TLS server
Certificate Authority Key (for TLS Client)	ECDSA P-384	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Signs certificates used when the DSM acts as a TLS client
	2048-bit RSA	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Signs certificates used when the DSM acts as a TLS client.
Server Key (for TLS Server)	ECDSA P-384	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM in a TLS session when it acts as a TLS server; Key establishment methodology uses EC DH with either 256 or 384 bits keys and provides 128 or 192 bits of encryption strength.

	2048-bit RSA	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM in a TLS session when it acts as a TLS server; Key establishment methodology provides 112 bits of encryption strength.
Server Key (for TLS Client)	ECDSA P-384	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM in a TLS session when it acts as a TLS client; Key establishment methodology uses EC DH with either 256 or 384 bits keys and provides 128 or 192 bits of encryption strength.
	2048-bit RSA	Generated internally using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM in a TLS session when it acts as a TLS client; Key establishment methodology provides 112 bits of encryption strength.
Web Console Key	ECDSA P-384	Generated internally compliant to FIPS 186-4 using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM to a web browser: https TLS requests. Key establishment methodology uses EC DH with either 256 or 384 bits keys and provides 128 or 192 bits of encryption strength.
	2048-bit RSA	Generated internally using a DRBG compliant to NIST SP 800-90A	Keystore	Identifies the DSM to a web browser: https TLS requests. Key establishment methodology provides 112 bits of encryption strength.
Master Key AES 256		Generated internally using a DRBG compliant to NIST SP 800-90A	Keystore	Protects the Protection Key
TLS Session Keys AES 128, AES 256 (Including pre-master secret and master secret)		Generated internally using a DRBG compliant to NIST SP 800-90A	Not applicable. Session keys only persist for the life of the session.	Negotiated as part of the TLS handshake. Keys are exchanged using EC DH or RSA (depends on cryptography supported by the communicating entities)
TLS HMAC Keys HMAC-SHA1 /HMAC-SHA-256 / HMAC-SHA-384		Generated internally using a DRBG compliant to NIST SP 800-90A	Not applicable. Session keys only persist for the life of the session	Used as part of TLS cipher suites
TLS Key Exchange EC DH 256-bits EC DH 384-bits		Generated internally using a DRBG compliant to NIST SP 800-90A	Not applicable. Session keys only persist for the life of the session	Negotiated as part of the TLS handshake using elliptical curve.

Protection Key AES 256	Generated internally using a DRBG compliant to NIST SP 800-90A	Database	Protects symmetric file system keys, vault keys, RSA keys for agent database backups, password hashes, backup wrapper keys
Server Wrapper Key AES 256	Generated internally using a DRBG compliant to NIST SP 800-90A	Encrypted and stored in file system	Protects DSM backups
Agent Public Key RSA 2048 bits public key	External Vormetric VTE agent generated using DRBG compliant to NIST SP 800-90A	Database	Protect a single-use File System Key Protection Key for transport.
Vormetric Upgrade Verification Key RSA 2048 bits public key	External generated using a DRBG compliant to NIST SP 800-90A and preloaded.	Obfuscated and Stored in file system	Used to verify the uploaded upgrade package
Symmetric File System Keys AES	Generated internally using a DRBG compliant to NIST SP 800-90A	Database	Encryption keys used by Transparent Encryption agent. The File System Keys are encrypted using the Protection Key before being stored.
Agent Database Backup Keys RSA	Generated internally using a DRBG compliant to NIST SP 800-90A	Database	Encryption keys used by database backup agent. The Agent Database backup Keys are encrypted using the Protection Key before being stored.
Symmetric Vault Keys AES	Manually entered via TLS	Database	Customer keys held by the DSM. The Symmetric Vault Keys are encrypted using the Protection Key before being stored.
Asymmetric Vault Keys RSA	Key entered via TLS	Database	Customer keys held by the DSM. The Asymmetric Vault Keys are encrypted using the Protection Key before being stored.

Table 6 – Keys and CSPs

All of the keys in the above table can be input/output to/from the module except the TLS Session Keys. When services are configured to use Triple-DES, ARIA keys, RSA-1024, RSA-4096, SSH KDF or any non-approved algorithms, the services are in non-FIPS approved mode. The web console key supports both RSA and ECDSA certificates. The web console key is used for authorized services listed in table-5 with system administrator, domain administrator, and security administrator roles.

The following table shows the keys that are used in the Authorized Services from table 5. Note that the TLS Session Key is used implicitly in all Authorized Services because TLS is used to connect to the cryptographic module. Note also that Administrator Passwords are used implicitly in all Authorized Services because the administrators must enter their passwords to perform actions.

Authorized Service	Cryptographic Key/CSP	Modes of Access
Run Power-On Self-Test	N/A	N/A
Show basic status on dashboard	N/A	N/A
Manage preferences, LDAP, RSA tokens, SNMP, etc	N/A	N/A
Setup email and syslog	N/A	N/A
Create and delete administrator accounts; Change and reset passwords	Administrator Passwords Master Key	Account passwords are created by human entry, and are at least 8 alphanumeric characters. A SHA-256 hash of the password plus a salt is created, encrypted with the Encryption Key, and stored.
Create and delete domains	N/A	N/A
Assign administrators to domains	N/A	N/A
Create, import, export Wrapper Key	Server Wrapper Key	This is an AES-256 symmetric key used to protect backup. This key is split in an M-of-N fashion using the "Shamir's Secret Sharing" scheme.
Backup and restore	Server Wrapper Key	Backups are encrypted using Server Wrapper Key. This key is split in an M-of-N fashion using the "Shamir's Secret Sharing" scheme.
Software upgrade	Vormetric Upgrade Verification Key	Upgrade packages are signed by Vormetric in the factory using this key. The module contains the public key, which is used to verify the authenticity of the upgrade package.
Shutdown, reboot, restart Security Server	N/A	N/A
Generate CA certificate	Certificate Authority Key (both keys, as client and as server), Keystore Key, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	This key is generated and used to sign other certificates using RSA 2048 or ECDSA P-384.
Upload signed web console certificate	Web Console Key	The admin generates a CSR based on this key, has it signed by an external certificate authority, and uploads the signed certificate to the DSM
Generate server certificate	Server Key Certificate Authority Key (both keys, as client and as server), Keystore Key, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	The Server Key is generated, and a certificate using that key is signed by the Certificate Authority Key.

Authorized Service	Cryptographic Key/CSP	Modes of Access
Configure High Availability	Server Key (of the failover node), Master Key, Protection Key, Keystore Key	The Protection Key is encrypted with the Master Key of the Failover Node for transport, and the Protection Key is stored encrypted with the Master Key.
View, Configure Network Settings	N/A	N/A
Set date, time, NTP	N/A	N/A
Zeroize all data and all key material	All	All data and key material are destroyed.
Create File System Keys (Agent Keys) and Certificates	File System Keys, Protection Key, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	Generation of the File System Keys. The File System Keys are encrypted using the Protection Key before being stored. (When service is configured to use Triple-DES and ARIA, the service is in non-FIPS approved mode.)
Create Vault Keys and Certificates	Vault Keys, Protection Key, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	Generation of the Vault Keys. The Vault Keys are encrypted using the Protection Key before being stored. (When service is configured to use Triple-DES and ARIA, the service is in non-FIPS approved mode.)
Create Agent Database Backup Keys	Agent Database Backup Keys, Protection Key, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	Generation of Agent Database Backup Keys. The Agent Database Backup Keys are encrypted using the Protection Key before being stored.
Create, modify, and delete file system policies	N/A	N/A
Import and Export file system policies	N/A	N/A
Create, modify, and delete agent database backup policies	N/A	N/A
Import and export keys	Server Wrapper Key	Keys (File System Keys) are encrypted using the Server Wrapper key during export. During import they're decrypted using this key.
Create and delete Signatures	N/A	N/A
Create and export Reports	N/A	N/A
View, delete, and export Log	N/A	N/A
Apply guard points using policies (and remove them)	N/A	N/A
Submit a CSR and obtain a certificate	Agent Public Key, Certificate Authority Key (both keys, as client and as server), Keystore Key	The Vormetric Transparent Encryption Agent creates a CSR; it is signed by the Certificate Authority Key using RSA 2048 or ECDSA P-384.

Authorized Service	Cryptographic Key/CSP	Modes of Access
Obtain host/policy/key info	File System Key Protection Key, Agent Public Key, File System Keys, 800-90A CTR_DRBG "V", 800-90A CTR_DRBG "Key"	A single-use File System Key Protection Key is generated. It is used to encrypt the File System Keys. It is itself encrypted by the Agent Public Key for transport.

Table 7 - Mapping of Cryptographic Keys and CSPs to Services

7.2 Key Destruction/Zeroization

All key material can be zeroized by any administrator with the Network Administrator role. When this action is performed, all key material and CSPs are removed, and the system enters a state that is indistinguishable from the state in which the virtual appliance is freshly installed.

7.3 Approved or Allowed Security Functions

The module keys map to the following algorithms certificates:

Approved Security Functions	Certificate
Symmetric Encryption/Decryption	
AES: (Java, CBC Mode; Encrypt/Decrypt; Key Size = 128, 256)	3621
AES: (OpenSSL, CBC Mode; Encrypt/Decrypt; Key Size=128, 256) – only used for CTR-DRBG	3588
Secure Hash Standard (SHS)	
SHA-256, SHA-384 (Java)	3041
SHA-1 (Java) – only used for TLS KDF	2949
SHA-256 (OpenSSL) - prerequisite for the OpenSSL HMAC SHA-256 used for the software integrity check	2950
Data Authentication Code	
HMAC-SHA-256, HMAC-SHA-384 (Java)	2375
HMAC-SHA-1 (Java) – only used for TLS KDF	2287
HMAC-SHA-256 (OpenSSL) – used for software integrity check	2288
Asymmetric Signature Keys	
RSA Key Generation, TLS session key wrapping (NIST SP 800-90A, 2048-bits, 3072-bits)	1866
RSA Signature creation and verification (PKCS#1.5 Sig Gen and Sig Verify, 2048 bits)	1866
ECDSA Key Generation (P-256, P-384)	751
ECDSA Signature creation and verification (P-256, P-384)	751
Random Number Generation	
DRBG NIST SP 800-90A (CTR-DRBG)	951

Approved Security Functions	Certificate
Key Derivation Function (TLS protocol has not been reviewed or tested by the CAVP and CMVP)	
TLS 1.0/1.1 KDF	612
TLS 1.2 KDF	643
Key Transport Scheme	
KTS	AES #3621 and HMAC #2375
Non-Approved but Allowed Security Function	
NDRNG – entropy source for SP 800-90A DRBG	
RSA key wrapper (key establishment methodology provides 112 bits of encryption strength)	
EC DH, key size=256 and 384 bits	
MD5 (only used in TLS 1.0/1.1 KDF)	
TLS Cipher suite: (TLS protocol has not been reviewed or tested by the CAVP and CMVP) TLS_RSA_WITH_AES_256_CBC_SHA, TLS_RSA_WITH_AES_128_CBC_SHA, TLS_ECDHE_ECDSA_WITH_AES_128_CBC_SHA256, TLS_ECDHE_ECDSA_WITH_AES_256_CBC_SHA384	
Non-Approved but Not Allowed Security Function	
Triple-DES (non-compliant)	
RSA 1024, RSA 4096 (non-compliant)	
ARIA, Key size = 128 and 256 bits (non-compliant)	
SSH KDF (non-compliant) – SSH is not used to provide security for the FIPS module and is considered equivalent to plaintext for this validation	
TLS Cipher suite: TLS_RSA_WITH_3DES_EDE_CBC_SHA (non-compliant)	

Table 8 - FIPS Algorithms

RSA 3072-bits is included in the RSA cert #1866 but the key is not being used in the software. In addition, AES-128 key is included in the AES cert #3588 for CTR-DRBG but the software only uses AES-256 key for CTR-DRBG. The software module supports non-deterministic random number generator (NDRNG) that uses internal, unpredictable physical sources of entropy (disk I/O interrupt and Intel RdRand instruction) that are outside of human control. Random numbers generated by the NDRNG are used as entropy source for the FIPS approved random number generator (DRBG cert #951), NDRNG provides it at least 266 bits of entropy. There is no assurance of the minimum strength of generated keys if porting to an untested platform. When services are configured to use any non-compliant algorithms, the services are in non-FIPS approved mode.

8 Self-Tests

The module performs power-up self-tests and conditional self-tests.

8.1 Power-Up Self-Tests

The power-up self tests are performed upon module startup before any data or control interface being available. All other processing is inhibited while the tests are in progress. If any test fails, an error status such as “FIPS Integrity Check Failed; Appliance Halting” and “Self Test in progress: failed. Security

Server cannot continue” are displayed to the virtual VGA console, and the module will immediately power off. When all tests run to completion, the message “FIPS Integrity Check Completed OK” and “Self Test in progress: passed” are displayed to the virtual VGA console, and the module continues normal startup.

See the virtual VGA port for self-test results.

Cryptographic Algorithm KATs:

Known Answer Tests (KATs) are run at power-up for:

- AES (CBC mode for Encrypt for Java)
- AES (CBC mode for Decrypt for Java)
- AES (CBC mode for Encrypt for OpenSSL)
- AES (CBC mode for Decrypt for OpenSSL)
- RSA (Sign KAT and Verify KAT)
- ECDSA (Sign KAT and Verify KAT)
- SHA-1, SHA-256, SHA-384 (for Java)
- SHA-256 (for OpenSSL)
- HMAC-SHA-1, HMAC-SHA-256, HMAC-SHA-384 (for Java)
- HMAC-SHA-256 (for OpenSSL)
- DRBG (Instantiate, Reseed, Generate KAT)

Software Integrity Tests:

The module checks the integrity of its components using HMAC-SHA-256 during power on.

8.2 Conditional Self-Tests

The module performs the following conditional self-tests:

Software Load Test:

This test is run when the software is upgraded to verify that the software came from a trusted source and hasn't been modified during delivery and installation. It uses RSA signature verification using an RSA 2048-bit key.

Continuous RNG Test:

A continuous RNG test (that is, ensuring that two successive outputs from the RNG are not equal) is performed each time a pseudo-random number is requested. The same test is applied to the source of entropy.

Pairwise Consistency Test:

- Pairwise consistency tests are run automatically when the module generates RSA key pairs. The module performs a sign operation with the private key and verifies it with the public key.
- Pairwise consistency tests are run automatically when the module generates ECDSA key pairs. The module performs a sign operation with the private key and verifies it with the public key.

Manual Key Entry Test:

Manual key entry is one way to create a File System Key. When manual key entry is used, the key is entered twice and the two entries are verified to be the same.

9 Crypto-Officer and User Guidance

This section describes the configuration, maintenance, and administration of the cryptographic module.

9.1 Secure Setup and Initialization

The following steps must be taken to securely initialize the module:

- A user in the Network Administrator role must log into CLI as the default user “cliadmin” and an immediate password change is required

- A user in the Network Administrator role must configure networking so that the module has a valid IP address and host name
- A user in the Network Administrator role must generate a CA certificate
- A user in the System Administrator role must log into the UI as the default user “admin”; an immediate password change is required

9.2 Module Security Policy Rules

The module operates in FIPS mode after all the power up self-test have passed and the message described in section 8.1 has been displayed. When operated in FIPS mode, crypto-officer must ensure it is only using approved security functions.

10 Design Assurance

Vormetric uses Concurrent Versioning System (CVS) and Subversion (SVN) for configuration management of product source code. Vormetric also uses Confluence, an internal wiki for configuration management of functional specifications and documentation. Both support authentication, access control, and logging. A high-level language is used for all software components within the module. The secure distribution method of DSM software is via the Vormetric support website. The support website has user and password authentication and files are transferred over HTTPS secure communication.

11 Mitigation of Other Attacks

The module does not mitigate against any specific attacks.