

Annex D:  
Approved Key Establishment Techniques  
for FIPS PUB 140-2,  
*Security Requirements for  
Cryptographic Modules*

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# **Annex D: Approved Key Establishment Techniques for FIPS PUB 140-2, *Security Requirements for Cryptographic Modules***

## **1. Introduction**

Federal Information Processing Standards Publication (FIPS PUB) 140-2, Security Requirements for Cryptographic Modules, specifies the security requirements that are to be satisfied by the cryptographic module utilized within a security system protecting sensitive information within computer and telecommunications systems (including voice systems). The standard provides four increasing, qualitative levels of security: Level 1, Level 2, Level 3, and Level 4. These levels are intended to cover the wide range of potential applications and environments in which cryptographic modules may be employed. The security requirements cover eleven areas related to the secure design and implementation of the cryptographic module. These areas include the following:

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. Electromagnetic Interference/Electromagnetic Compatibility (EMI/EMC)
9. Self Tests
10. Design Assurance
11. Mitigation of Other Attacks

The Cryptographic Module Validation Program (CMVP - [www.nist.gov/cmvp](http://www.nist.gov/cmvp)) validates cryptographic modules to FIPS PUB 140-2 and other cryptography based standards. The CMVP is a joint effort between NIST and the Communications Security Establishment Canada (CSEC - [www.cse-cst.gc.ca](http://www.cse-cst.gc.ca)). Modules validated as conforming to FIPS PUB 140-2 are accepted by the Federal agencies of both countries for the protection of sensitive information (United States) or Designated information (Canada).

In the CMVP, vendors of cryptographic modules use independent, accredited testing laboratories to have their modules tested. Organizations wishing to have validations performed would contract with the laboratories for the required services.

## **2. Purpose**

The purpose of this document is to provide a list of the Approved key establishment techniques applicable to FIPS PUB 140-2.

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## ANNEX D: APPROVED KEY ESTABLISHMENT TECHNIQUES

Annex D provides a list of the Approved key establishment techniques applicable to FIPS PUB 140-2.

### Transitions

National Institute of Standards and Technology, [Recommendation for Transitioning the Use of Cryptographic Algorithms and Key Lengths](#), Special Publication 800-131A, January 2011. Sections relevant to this Annex: 1, 5, 6, 7 and 8.

### Key Establishment Techniques

1. Key establishment techniques *allowed* in a FIPS Approved mode of operation with appropriate restrictions are listed in [FIPS 140-2 Implementation Guidance](#) Section D.2.
2. National Institute of Standards and Technology, [Digital Signature Standard \(DSS\)](#), Federal Information Processing Standards Publication 186-4, July, 2013. (DSA2, RSA2 and ECDSA2)
3. National Institute of Standards and Technology, [Recommendation for Pair-Wise Key Establishment Schemes Using Discrete Logarithm Cryptography](#), Special Publication 800-56A Rev 2, May 2013.
4. National Institute of Standards and Technology, [Recommendation for Pair-Wise Key Establishment Schemes Using Integer Factorization Cryptography](#), Special Publication 800-56B Rev. 1, September 2014.
5. National Institute of Standards and Technology, [Recommendation for Key Derivation Using Pseudorandom Functions](#), Special Publication 800-108, October 2009, Revised.
6. National Institute of Standards and Technology, [Recommendation for Password-Based Key Derivation, Part 1: Storage Applications](#), Special Publication 800-132, December 2010.
7. National Institute of Standards and Technology, [Recommendation for Existing Application-Specific Key Derivation Functions](#), Special Publication 800-135rev1, December 2011.
8. National Institute of Standards and Technology, [Recommendation for Key Derivation through Extraction-then-Expansion](#), Special Publication 800-56C, November 2011.
9. National Institute of Standards and Technology, [Recommendation for Block Cipher Modes of Operation: Methods for Key Wrapping](#), Special Publication 800-38F, December 2012.
10. National Institute of Standards and Technology, [Recommendation for Cryptographic Key Generation](#), Special Publication 800-133, December 2012.

## Document Revisions

| Date       | Change   |
|------------|--|
| 05/20/2003 | <b>Symmetric Key Establishment Techniques</b><br>Reference to FIPS 171 added for symmetric keys  |
| 08/28/2003 | <b>Asymmetric Key Establishment Techniques</b><br>Clarification of Asymmetric Key Establishment Techniques for use in a FIPS Approved mode   |
| 02/23/2004 | <b>Asymmetric Key Establishment Techniques</b><br>MQV and EC MQV added as Asymmetric Key Establishment Techniques for use in a FIPS Approved mode  |
| 06/30/2005 | <b>Asymmetric Key Establishment Techniques</b><br>Clarification regarding the use of asymmetric keys for key wrapping as a key transport method for key establishment  |
| 09/15/2005 | <b>Asymmetric Key Establishment Techniques</b><br>Information regarding allowed asymmetric key establishment methods moved to FIPS 140-2 IG 7.1  |
| 01/24/2007 | <b>Asymmetric Key Establishment Techniques</b><br><i>Recommendation for Pair-Wise Key Establishment Schemes Using Discrete Logarithm Cryptography</i> - Added  |
| 03/19/2007 | <b>Asymmetric Key Establishment Techniques</b><br><i>Recommendation for Pair-Wise Key Establishment Schemes Using Discrete Logarithm Cryptography (Revised)</i> – Updated to Revision 1  |
| 06/26/2007 | <b>Symmetric Key Establishment Techniques</b><br>Removed reference to FIPS 171. FIPS 171 was withdrawn February 08, 2005.<br><br><b>Asymmetric Key Establishment Techniques</b><br>Added references for additional schemes in FIPS 140-2 IG Section 7.1. |
| 10/18/2007 | Updated links  |
| 01/16/2008 | <b>Symmetric Key Establishment Techniques</b><br>Change reference to FIPS 140-2 Implementation Guidance 7.1.   |
| 10/08/2009 | <b>Asymmetric Key Establishment Techniques</b><br><i>Recommendation for Pair-Wise Key Establishment Schemes Using Integer Factorization Cryptography</i> - Added   |
| 11/24/2010 | <b>Symmetric Key Establishment Techniques, Number 1:</b><br>Changed reference from FIPS 140-2 Implementation Guidance 7.1 to D.2.  |
|            | <b>Asymmetric Key Establishment Techniques</b><br>Split section into three parts.  |
|            | <b>Asymmetric Key Establishment Techniques, Number 3</b><br>Changed reference from FIPS 140-2 Implementation Guidance 7.1 to D.2.  |
| 01/04/2011 | <b>References reorganized</b>  |
|            | Added reference FIPS 186-3 – asymmetric key generation   |
|            | Added reference Special Publication 800-108  |
|            | Added reference Special Publication 800-132  |
| 07/26/2011 | <b>Added new Section: Transitions</b><br>Added: <i>Recommendation for Transitioning the Use of Cryptographic Algorithms and Key Lengths</i>  |
| 12/20/2011 | <b>Key Establishment Techniques</b><br>Added: <i>Recommendation for Key Derivation through Extraction-then-Expansion</i> , Special Publication 800-56C   |
| 04/23/2011 | <b>Key Establishment Techniques</b><br>Updated: <i>Recommendation for Existing Application-Specific Key Derivation Functions</i> to Revision 1.  |

|            |   |
|------------|---|
| 01/02/2013 | <b>Key Establishment Techniques</b><br>Added: <i>Recommendation for Block Cipher Modes of Operation: Methods for Key Wrapping</i> , Special Publication 800-38F   |
| 02/24/2014 | <b>Key Establishment Techniques</b><br>Updated: <i>Digital Signature Standard (DSS)</i> from FIPS 186-3 to FIPS 186-4<br>Updated: <i>Recommendation for Pair-Wise Key Establishment Schemes Using Discrete Logarithm Cryptography</i> from Revision 1 to Revision 2 |
| 02/26/2014 | <b>Key Establishment Techniques</b><br>Added: <i>Recommendation for Cryptographic Key Generation</i> , Special Publication 800-133  |
| 10/08/2014 | <b>Key Establishment Techniques</b><br>Updated: <i>Recommendation for Pair-Wise Key Establishment Schemes Using Integer Factorization Cryptography</i> to Revision 1.   |

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**End of Document**

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