SIEMENS

Generic CMP client library API

- released, updated -

Version 1.3

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Document History

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V1.1	D. von Oheimb	2018-07-12	Various improvements of contents and presentation	Experience implementing this API and an example
V1.2	D. von Oheimb	2018-11-07	various updates and minor improvements	changes in SecUtils and CMPforOpenSSL
V1.3	D. von Oheimb	2019-04-11	all sections	reflect latest API and code enhancements, minor description improvements also according to review

1. Introduction

1.1 Motivation and Purpose

CMP [RFC4210], including CRMF [RFC4211] and HTTP transfer for CMP [RFC6712], is used as certificate management protocol within Siemens for certificate management use cases such as enrollment, update and revocation of certificates. An overview and general information on CMP can be found on the Product PKI Wiki [CMP_Wiki].

This document specifies the Application Programming Interface (API) for the development of a generic CMP client library to be used by Siemens business units (BUs) in the development of their products and solutions.

1.2 Scope

There is already an open-source CMP client implementation that we build upon: CMPforOpenSSL, located on GitHub [cmpossl]. It offers both a library based on OpenSSL with a low-level C API and a rather high-level command-line interface (CLI).

BU-specific CMP client apps

- Overall application logic, coordinate below activities, report errors, ...
- · Determining when to bootstrap, update, or revoke certificates
- Providing configuration information/options including trusted certificates
- Interface to storage mechanisms, may be file-based and/or HW-based

Generic CMP Client lib API

Generic CMP Client library

- · Implementation of high-level CMP API for enrolling, updating, and revoking certificates
- Unit/component tests

Security Utilities library

- Generic support functions, e.g., file handling and certificate checking incl. CRLs and OCSP
- Further security-related functionality needed by MO MM, e.g., use of HW trust anchor (UTA) lib
- Unit/component tests

CMPforOpenSSL: OpenSSL with CMP extensions, in two variants:

integrated with OpenSSL

- Implementation of lower-level CMP and CRMF API
- standalone library linked to OpenSSL
- Command-line interface (integrated with openss1 application)
- Unit/component tests

Goal when designing this interface was to offer a medium-level API based on the low-level CMPforOpenSSL API that on the one hand is convenient to use for application programmers and on the other hand is complete and flexible enough to cover the major certificate management use cases of the Siemens BUs. Besides its generic character, the library supports developing specific CMP clients that fulfill the Siemens Product PKI CMP profile [CMP Profile].

The implementation makes use of the SecurityUtilities library developed at Siemens Mobility and of CMPforOpenSSL, which can be provided either as an integrated extension to OpenSSL or as a standalone CMP library dynamically linked to OpenSSL (in all generally supported versions: currently 1.0.2., 1.1.0, and 1.1.1).

1.3 References

Reference ID	Document with title, unique identifier and version
[RFC4210]	RFC4210: "Internet X.509 Public Key Infrastructure Certificate Management Protocol (CMP)", 2005 https://tools.ietf.org/html/rfc4210
[RFC4211]	RFC4211: "Internet X.509 Public Key Infrastructure Certificate Request Message Format (CRMF)", 2005 https://www.ietf.org/RFC/RFC4211.txt
[RFC5280]	RFC5280: "Certificate and Certificate Revocation List (CRL) Profile", 2008 https://www.ietf.org/RFC/RFC5280.txt
[RFC6712]	RFC6712: "Internet X.509 Public Key Infrastructure HTTP Transfer for the Certificate Management Protocol (CMP)", 2012 https://tools.ietf.org/RFC/RFC6712.txt
[OID-ref]	OID database, reference record for OID 1.3.6.1.5.5.7.3, 2019 http://oidref.com/1.3.6.1.5.5.7.3
[OpenSSL- ciphers]	OpenSSL manual page on SSL/TLS ciphers, 2019 https://www.openssl.org/docs/manmaster/man1/ciphers.html
[OpenSSL- config]	OpenSSL manual page on SSL/TLS ciphers, 2019 https://www.openssl.org/docs/manmaster/man5/x509v3_config.html
[OpenSSL- engine]	OpenSSL manual page on the crypto engine API, 2019 https://www.openssl.org/docs/manmaster/man3/ENGINE_init.html
[OpenSSL- sec-level]	OpenSSL manual page on SSL/TLS security level, 2019 https://www.openssl.org/docs/manmaster/man3/SSL CTX get security level.html
[cmpossl]	M. Peylo and D. von Oheimb: CMP for OpenSSL project, 2019 https://github.com/mpeylo/cmpossl (code repository including documentation)
[CMP_Wiki]	General information on CMP on the CT PKI Product PKI Wiki, 2019 https://wiki.ct.siemens.de/x/zYPdBw
[CMP_Profile]	CMP Profile for Industrial Certificate Management Use Cases, V2.0, 2018 https://wiki.ct.siemens.de/x/UCfsBw
[Cert_Valid]	Basic Certificate Validation Guideline for Certificate Management, V1.0, 2017 https://wiki.ct.siemens.de/x/UCfsBw
[TLS_Conf]	"Transport Layer Security – Configuration Best Practice Guideline", 2016 https://wiki.ct.siemens.de/x/fJJfBw
[TLS_Integrati on]	"Transport Layer Security – Integration Best Practice Guideline", 2016 https://wiki.ct.siemens.de/x/eCZ-Bw

2. Overview

This CMP client library is built on top of CMPforOpenSSL, which in turn is built on top of OpenSSL. Thus we inherit several declarations from there. In particular, the type CMP_CTX defining the context data structure for the low-level CMPforOpenSSL client library functions that will be re-used in the medium-level API.

For best usability and flexibility, we condense the CMP client core functionality into a few rather high-level functions that allow setting all typically required use case parameters. Each CMP use case can be executed by calling several of these functions to form a CMP client transaction as described next – see also the example code at the end of this section.

In order to enable the use of the low-level CMPforOpenSSL functions, we directly re-use their CMP context data structure (of type CMP_CTX). This context includes all parameters and state

information of a CMP transaction. The function, <code>cmpclient_prepare()</code> sets up those parts of the context data structure generally needed for all use cases. It must be called first when starting a new transaction. As far as needed, the application programmer may use the pointer provided by this function (typically named <code>ctx</code>) to set up any further, uncommon CMP client parameters. In this way we make sure that, as requested, the low-level API of CMPforOpenSSL defined in the C header file <code>cmp.h</code>, can be used jointly with this API.

One of the parameters of <code>cmpclient_prepare()</code> is the callback function pointer <code>transfer_fn</code>. By default (when <code>NULL</code> is given as the actual argument), standard HTTP(S) transfer is selected. In this case, a second function, <code>cmpclient_setup_HTTP()</code>, must be called next in order to provide the required HTTP parameters such as the server name and HTTP path.

Note that because CMP messages are self-contained any CMP implementation generally supports offline transport. Moreover, this implementation supports an overall timeout per CMP transaction and the default HTTP transfer supports a timeout per message exchange. Polling for requested certificates, as defined by [RFC4210], is fully supported and is done automatically when needed.

Then the actual activity for the given use case is invoked, by calling either <code>cmpclient_imprint()</code>, <code>cmpclient_bootstrap()</code>, <code>cmpclient_update()</code>, <code>Of cmpclient_revoke()</code> with their use-case-specific arguments. Due to current technical limitations of the CMPforOpenSSL library, only one transaction can be performed with the same CMP context pointer (that is, it cannot be reused for further transactions).

Finally the transaction must be closed by calling <code>cmpclient_finish()</code>, which deallocates all internal resources in the given CMP context. In order to give advanced users the possibility to extract information from the CMP context before it is destroyed; this cleanup step has not been integrated at the end of the three above functions implementing the core use cases.

Thus, as the given level of abstraction, a typical invocation sequence would look like this:

The various parameters, as well as the meaning and the results of these functions are described in the next section.

Any number of transactions may be executed in a row or even in parallel as long as each of them uses its own CMP context pointer obtained by calling <code>cmpclient_prepare()</code>.

The actual C header file with all relevant declarations can be found in the appendix.

The coding style of the library is compatible with the C90 standard.

3. Core functionality

This section describes the essential functions of the generic CMP client library. These functions give feedback to the caller on their success or failure and the reason for any failure. We define the return type $\mathtt{CMP_err}$ more abstractly than currently in the header file $\mathtt{cmp.h}$ of CMPforOpenSSL while the idea is the same: $\mathtt{CMP_OK} = 0$ (zero) means no error, else the code indicates the failure reason. The various error codes are defined in copenss1/cmperr.h>.

The function <code>cmpclient_init()</code> initializes the underlying OpenSSL library and optionally sets up a log callback function as described in section 3.7 for use by the SecurityUtilities library. It should be called once, as soon as the overall application starts. If the <code>log_fn</code> argument is <code>NULL</code> the library uses as default both the syslog facility and printing to the console.

```
CMP_err CMPclient_init(OPTIONAL OSSL_cmp_log_cb_t log_fn);
```

3.1 CMPclient prepare

The function CMPclient_prepare() allocates the internal CMP context data structure (of type CMP_CTX) and set up those CMP parameters common to all use cases. On success, it assigns the pointer to the structure via the address of a variable that must be supplied as the first parameter. Note that this function, as well as the following ones, internally modify the CMP context and therefore this context is not declared const.

Param.	Туре	Name	Meaning
	CMP_CTX **	pctx	Pointer to the variable that will obtain the context
OPTIONAL	OSSL_cmp_log_cb_t	log_fn	Function to be called for logging CMP related
			errors, warnings, etc. See section 3.7 for details.
			If NULL is given ossL_CMP_puts() is used, which
			prints errors and warnings to stderr, while info
			and debug messages are printed to stdout.
OPTIONAL	X509_STORE *	cmp_	Trust store for authenticating the CMP server.
		truststore	For efficiency this data structure is not copied but
			its reference counter is incremented on success.
			Although it might get modified, it may be reused.
			The argument may be NULL in case symmetric
			mutual authentication is done (via creds).
OPTIONAL	const char *	recipient	X.509 Distinguished Name in the form
			"/ <type0>=<value0>/<type1>=<value1>" to use for</value1></type1></value0></type0>
			the recipient field of CMP headers.
			If NULL then information from the creds or untrusted
			parameter or the NULL DN is taken as fallback.
OPTIONAL	const STACK OF(X509) *	untrusted	Non-trusted intermediate CA certificates that may
	STACK_OF (X509)		be needed for path construction during
			authentication of the CMP server and for verifying
			the newly enrolled certificate.
			If the recipient argument is NULL and the creds
			argument is NULL or does not contain a certificate
			the recipient of CMP messages sent is taken from
			the subject of the first certificate in this list, if any.

OPTIONAL	const	creds	CMP client key material for protecting requests
1111011111	CREDENTIALS *		
			and authenticating to the server, or NULL in case
			requests should not be protected. Any password
			(symmetric key) included may also be used in
			opposite direction. See section 3.9 for details.
			If a client certificate is included its subject is taken
			as the sender and, unless the recipient argument
			is given, its issuer is taken as the recipient of
			CMP messages sent.
OPTIONAL	const char *	digest	Name of hash function to use when signing, for
			proof-of-possession (POPO) when requesting a
			certificate and also for protecting messages.
			The default is "sha256".
			The available digest names can be shown with the
			command openssl list -digest-commands
OPTIONAL	OSSL_cmp_transfer_	transfer_fn	Function to be called for message transfer
	cb_t		See section 0 for details.
	int	total_	Maximum total time (in seconds) an enrollment
		timeout	(including polling) may take, or ₀ for infinite,
			or < 0 for default, which is 0 (infinite)
OPTIONAL	X509_STORE *	new_cert_	Trust store to be used for verifying the newly
		truststore	enrolled certificate. See section 3.8 for details.
			For efficiency this data structure is not copied but
			its reference counter is incremented on success.
			Although it might get modified, it may be reused.
	Bool	implicit_	Flag whether to request implicit confirmation for
		confirm	enrolled certificates
L	<u> </u>	l	

Example use (for the parts replaced by '...', see sections 4.2 and 4.1):

```
CMP_err err;
CMP_CTX *ctx = NULL;
OSSL_cmp_log_cb_t log_fn = NULL;
x509\_STORE *cmp\_truststore = ...
const X509_char_*recipient = NULL;
const STACK_OF(X509) *untrusted = ...
CREDENTIALS *creds = ...
const char *digest = "sha256";
OSSL_cmp_transfer_cb_t transfer_fn = NULL; /* default HTTP(S) transfer */
int total_timeout = 100;
X509_STORE *new_cert_truststore = ...
bool implicit_confirm = false;
err = CMPclient_prepare(&ctx, log_fn,
                        OPTIONAL cmp_truststore, OPTIONAL recipient,
                        OPTIONAL untrusted, OPTIONAL creds, OPTIONAL digest,
                        OPTIONAL transfer_fn, total_timeout,
                        OPTIONAL new cert truststore, implicit confirm);
```

3.2 CMPclient setup HTTP

The function <code>cmpclient_setup_HTTP()</code> sets up in the given CMP context the parameters relevant for HTTP transfer. As mentioned in section 2, this is only needed if HTTP(S) is used. All string parameters are copied and so may be deallocated immediately. The optional <code>tls</code> parameter is not copied, so must not be deallocated before invoking <code>cmpclient_finish()</code>.

Param.	Туре	Name	Meaning
	CMP_CTX *	ctx	CMP context to be filled
	const char *	server	Server address, of the form " <name ip="">[:<port>]"</port></name>
			with the default port being 8080
	const char *	path	Server HTTP path (aka CMP alias)
	int	timeout	Maximum time (in seconds) a single response to an
			HTTP POST request may take, or 0 for infinite,
			or < 0 for default, which is 120 seconds
OPTIONAL	SSL_CTX *	tls	The TLS parameters if TLS shall be used, else NULL.
			For efficiency this data structure is not copied but its
			reference counter is incremented on success.
			Although it might get modified, it may be reused.
OPTIONAL	const char *	proxy	HTTP proxy address, of the form " [http://] <name_or_< td=""></name_or_<>
			ipaddr>[: <port>]", with the default port being 8080.</port>
			This argument may be overridden by the environment
			variable http_proxy. No proxy is used if the server
			name is found in the environment variable no_proxy.

Example use (for the parts replaced by '...' and TLS new(), see section 0):

3.3 CMPclient imprint, CMPclient bootstrap, and CMPclient pkcs10

The functions <code>cmpclient_imprint()</code> and <code>cmpclient_bootstrap()</code> perform a certificate enrollment, either an initial one (using the CMP command 'ir') or a regular one (using 'cr').

Param.	Туре	Name	Meaning
	CMP_CTX *	ctx	CMP context to use
	CREDENTIALS **	new_creds	Pointer to variable to obtain the enrolled cert etc.
	const EVP_PKEY *	new_key	Key (pair) to use for the new certificate; the private
			key is used for self-signature (POPO) and the
			corresponding public key is put in the cert template.

			Note that an EVP_PKEY structure can be used for both
			SW-based and HW-based keys. In the latter case it
			does not include the key material itself but a
			reference to key material held in a crypto engine.
	Const char *	subject	X.509 Subject Distinguished Name (DN) in the form
			"/ <type0>=<value0>/<type1>=<value1>".</value1></type1></value0></type0>
			If the creds argument of is NULL or does not contain
			a certificate this name is taken as the sender field
			of the CMP messages sent.
OPTIONAL	const	exts	X.509 extensions to put in the certificate template.
	X509_EXTENSIONS *		

The function <code>cmpclient_pkcs10()</code> performs certificate enrollment based on a legacy PKCS#10 CSR (using the CMP command 'plocr').

Param.	Туре	Name	Meaning
	CMP_CTX *	ctx	CMP context to use
	CREDENTIALS **	new_creds	Pointer to variable to obtain the enrolled cert etc.
	const X509_REQ *	csr	Legacy PKCS#10 certificate signing request to use

On success, each of the enrollment functions allocates a **CREDENTIALS** structure and fills it with the <code>new_key</code> argument supplied (or <code>NULL</code> in case of <code>cmpclient_pkcs10()</code>), the newly enrolled certificate, and a chain for this certificate. The chain is constructed from the list of untrusted certificates held in the CMP context, which includes any certificates provided by the server in the <code>extraCerts</code> field of responses. The pointer to the structure is returned via the pointer to a variable supplied as the <code>new_creds</code> parameter.

Example use (for <code>KEY_new()</code>, see section 4.3, for the part replaced by '...', see section 4.5, and for <code>CREDENTIALS save()</code>, see section 4.1):

All enrollment functions described in this section as well as <code>cmpclient_update()</code> described in the next section are implemented internally via a combination of the functions <code>cmpclient_setup_certreq()</code> and <code>cmpclient_encroll()</code>. For more flexibility these may be called directly.

3.4 CMPclient update

The function <code>cmpclient_update()</code> performs a certificate update, aka re-enrollment (using the CMP command 'kur'). The certificate to be updated is the <code>cert</code> component of the <code>creds</code>

argument given to CMPclient_prepare(). On success, a CREDENTIALS structure is returned as described above in section 3.3 for the enrollment functions.

Param	Туре	Name	Meaning
	CMP_CTX *	ctx	CMP context to use
	CREDENTIALS **	new_creds	Pointer to variable to obtain the enrolled cert etc.
	const EVP_PKEY *	new_key	Key (pair); see above description in section 3.3

3.5 CMPclient revoke

The function <code>cmpclient_revoke()</code> performs revocation (using the CMP command 'rr') of the given certificate.

Param.	Туре	Name	Meaning	
	CMP_CTX *	ctx	CMP context to use	
	const X509 *	cert	Certificate to be revoked	
	int	reason	Revocation reason code, as defined in openss1/x509v3.h	

3.6 CMPclient finish

The function <code>cmpclient_finish()</code> deallocates the given CMP context, deallocating all internal data but not the structures passed in via the functions described before. Due to current limitations of <code>CMPforOpenSSL_[cmpossl]</code>, only one invocation of the functions described in 3.3, 3.4, and 3.5 can be done with the same context structure. Any of the pointers provided for the above <code>truststore</code>, <code>creds</code>, <code>server</code>, <code>path</code>, <code>tls</code>, <code>subject</code>, <code>newkey</code>, <code>exts</code>, or <code>cert</code> parameters can be reused by the caller and must be deallocated when not needed any more.

Param.	Туре	Name	Meaning
	CMP_CTX *	ctx	CMP context to deallocate

Example use (for the various free() functions, see sections 0 and 4):

```
CMPclient_finish(ctx);
CREDENTIALS_free(new_creds);
EXTENSIONS_free(exts);
KEY_free(newkey);
TLS_free(tls);
CREDENTIALS_free(tls_creds);
STORE_free(tls_truststore);
STORE_free(new_cert_truststore);
STORE_free(cmp_truststore);
CREDENTIALS_free(creds);
LOG close();
```

3.7 Logging callback function

When an important activity is performed or an error occurs, some more detail should be provided for debugging and auditing purposes. An application can obtain this information by providing a callback function, which is called on error with <code>component</code>, <code>file</code>, <code>lineno</code>, and <code>msg</code> arguments that may provide a component identifier, a file path name and a line number indicating the source code location and a string describing the nature of the event.

Even when an activity is successful some warnings may be useful and some degree of logging may be required. Therefore we have extended the type of the logging callback function of CMPforOpenSSL by a level argument indicating the severity level, such that error, warning, info, debug, etc. can be treated differently. Moreover, the callback function

may itself do non-trivial tasks like writing to a log file, which in turn may fail. Thus we utilize a Boolean return type indicating success or failure.

When all CMP client activity is finished the log should be closed using the following function, which flushes any pending log output and deallocates log-related resources.

```
Void LOG close(void);
```

Message transfer callback function

The usual way of transferring CMP messages is via HTTP (see also [RFC6712]), with or without TLS. As mentioned in section 2, this transfer mode is therefore the default. Yet it is possible to provide as the <code>transfer_fn</code> argument of the <code>cmpclient_prepare()</code> function (see section 3.1) a non-<code>NULL</code> function pointer of type <code>ossl_cmp_transfer_cb_t</code>. This callback function takes as parameters the current CMP context structure, the request message to be sent and the address of a result variable to which it shall assign on success the response message received at the end of the transfer. The function shall send the request to some server and try to obtain the corresponding response from the server. It shall return an error code of type <code>cmp_err</code>. If needed, the application may also provide a further argument to the callback function, using the CMPforOpenSSL functions <code>ossl_cmp_ctx_set_transfer_cb_arg()</code> and <code>ossl_cmp_ctx_get_transfer_cb_arg()</code>.

This API design gives full freedom for implementing whatever method of transferring methods, including file-based ones.

3.8 Certificate checking callback function

When the CMP client receives from the server a newly enrolled certificate it should have the possibility to inspect the certificate to check whether it fulfills the given expectations. Depending on the outcome of this check, the client can signal acceptance or rejection of the certificate to the server via the 'certconf' CMP message.

The CMPforOpenSSL library just checks that the public key in the new certificate matches the key used in the request. In addition one can provide via the <code>ossl_CMP_CTX_set_certConf_cb()</code> function a function pointer of type <code>ossl_cmp_certConf_cb_t</code>. This callback function takes as parameters the current CMP context structure, the newly enrolled certificate to be checked, any CMP failure bits (see [RFC4210, section 5.2.3]) already determined by the library, and a pointer to the string result variable to which it may assign on error a string describing why it rejects the given certificate. The function shall return <code>0</code> on acceptance or CMP failure bits with indices between <code>0</code> and <code>OSSL_CMP_PKIFAILUREINFO_MAX(=26)</code> indicating the reason(s) for rejection. The application may also provide a further, implicit argument to the callback function via the CMPforOpenSSL function <code>ossl_CMP_CTX_set_certConf_cb_arg()</code>. This argument can be retrieved using <code>ossl_CMP_CTX_get_certConf_cb_arg()</code>.

If the <code>new_cert_truststore</code> argument of the <code>cmpclient_prepare()</code> is not <code>NULL</code> the callback function <code>ossl_cmp_certConf_cb()</code> provided by CMPforOpenSSL will be selected, which uses this argument as a trust store for validating the newly enrolled certificate.

This API design gives full freedom for implementing arbitrary checks on newly enrolled certificates, for instance whether the subject DN is as expected and/or all required X.509 extensions have been set, in addition to validating the certificate relative to some trust store.

3.9 Component credentials

Like CMPforOpenSSL, for key material and other core crypto data structures we re-use the ones defined by the underlying OpenSSL library, as far as possible, but one was missing.

It is very useful to have an abstraction that combines the key material a component has for authenticating itself in a single data structure. For signature-based authentication this consists of a private key (of OpenSSL type EVP_PKEY, which can refer to a key held in a hardware key store via a crypto engine), the current certificate (of OpenSSL type x509) including the corresponding public key, and optionally the chain of its issuer certificates towards the respective root CA (of OpenSSL type STACK_OF(X509)). For authentication with password-based MAC (PBM) the credentials include the password and optionally a reference value that may be needed, similarly to a user name, to identify which password to use. The resulting data structure, which we call CREDENTIALS, will be used by the CMP client on the one hand for itself, namely for signing/protecting CMP messages and optionally for authenticating itself as TLS client, and on the other hand to convey the output of certificate enrollment, where the newly enrolled certificate is bundled with the related private key and any chain of certificates provided by the server.

We define two core functions dealing with credentials.

• The function <code>credentials_new()</code> constructs a set of credentials from its components (i.e., a private key, a related certificate, and optionally a chain, and/or a password and optionally its reference value) and returns on a pointer to the newly allocated structure on success or <code>NULL</code> on failure (i.e., out of memory). On success the reference counter of the first three arguments are incremented and the last two arguments are copied. This means that the caller can deallocate all provided arguments immediately and in any case should wipe/erase the contents of the <code>pwd</code> parameter right away for security reasons.

Param.	Туре	Name	Meaning
OPTIONAL	const EVP_PKEY *	pkey	Private key to include, which may be
			software-based or stored in an engine
OPTIONAL	const X509 *	cert	Related certificate to include
OPTIONAL	const STACK_OF(X509) *	chain	Chain of the given certificate
OPTIONAL	const char *	pwd	Password to use for PBM etc.
OPTIONAL	const char *	pwdref	Reference for identifying the password

• The function <code>credentials_free()</code> takes a pointer to a credentials structure when not needed any more, deallocates its components (using among others <code>key_free()</code>, which wipes the private key, and <code>openssl_cleanse()</code> to wipe the secret/password), and then deallocates the structure itself. It has no return value.

Param.	Type	Name	Meaning
OPTIONAL	CREDENTIALS *	creds	Credentials structure to deallocate

As long as we do not make the **CREDENTIALS** data type opaque there is no need to define selector functions; instead the components can be accessed directly, e.g., via <code>creds->pkey</code>.

4. Support functionality

This section describes useful auxiliary functions for preparing the parameters of the above core functions. While this could be done directly using the rather low-level OpenSSL API, it is cumbersome and error-prone to identify and directly use the OpenSSL functions directly. Therefore we introduce this intermediate level for convenience, such that the typical use cases can be implemented without needing to know any details of the underlying CMPforOpenSSL and OpenSSL API. As mentioned before, experienced programmers may still make use of those lower-level functions in order to cover any special needs.

4.1 CREDENTIALS helpers

Since certificates as well as private keys (unless they are held in a hardware key store) are usually held in files, we provide functions for loading the components of credentials from files and for saving them in files. For now, we focus here on the PKCS#12 file format because all components of a CREDENTIALS structure can be easily and conveniently managed in a single PKCS#12 structure. Other formats, such as PEM, could also be supported.

The function <code>credentials_load()</code> reads from the file given in the <code>certs</code> argument (if not <code>NULL</code>) the primary certificate, which is taken as the <code>cert</code> component, plus any further ones, which are taken as the <code>chain</code> component. In case the <code>source</code> argument is <code>NULL</code> or begins with <code>"pass:"</code>, it reads the private key from the file given in the <code>key</code> argument (if not <code>NULL</code>), where the <code>source</code> argument may refer to a password in the form <code>"pass:<pwd>"pwd>"</code> that may be needed to decrypt the file contents including the private key. If the <code>certs</code> and <code>key</code> arguments are equal the credentials are jointly read from the same file, which is expected in PKCS#12 format, else for each file the format may be PEM, PKCS#12, or ASN.1 (DER). In case the <code>source</code> argument begins with <code>"engine:"</code>, it loads a reference to the private key with the identifier given in the <code>key</code> argument, where the rest of the <code>source</code> argument gives the identifier of the crypto engine to use (while the remaining credentials components are loaded from the file without decrypting it). The respective crypto engine must already have been parameterized and initialized in an engine-specific way with the usual OpenSSL mechanisms, which are described for instance in <code>1</code>.

The function internally calls <code>credentials_new()</code> to construct a <code>credentials</code> structure and returns the pointer to it on success, or <code>NULL</code> otherwise. In case of errors optionally the string held in the optional <code>desc</code> parameter is used for forming more descriptive error messages.

```
CREDENTIALS *CREDENTIALS_load(OPTIONAL const char *certs, OPTIONAL const char *key,

OPTIONAL const char *source, OPTIONAL const char *desc);
```

Example use for certificates and a private key read from a PKCS#12 file:

Example use where the private key is held in HW and its reference is loaded via PKCS#11 (while the actual key is held, e.g., on a smart card or a TPM chip):

The function <code>credentials_save()</code> writes the certificate components of the given credentials data structure <code>creds</code> to the file given as the <code>certs</code> argument (unless it is <code>null)</code>. If the <code>certs</code> and <code>key</code> arguments are equal the certificates and the private key are written jointly to the same PKCS#12 file, else they are written to PEM files (where the certificates are not encrypted). In case the <code>source</code> argument is <code>NULL</code> or begins with <code>"pass:"</code>, it stores the private key in the given <code>key</code> file (unless it is <code>null</code>). , where the <code>source</code> argument may refer to a password in the form <code>"pass:<pwd>"pass:<pwd>"that is then used to encrypt the private key (together with the related certificates when stored jointly in a PKCS#12 file) before storing it. In case the <code>source</code> argument begins with <code>"engine:"</code>, it assumes that the private key is held in a crypto engine and there is no need and neither a possibility for it to save the key (nor to encrypt the related certificates written to a file). The function returns <code>true</code> on success and <code>false</code> otherwise. In case of errors optionally the string held in the optional <code>desc</code> parameter is used for forming error messages.</code>

```
Bool CREDENTIALS_save (OPTIONAL const CREDENTIALS *creds,

OPTIONAL const char *certs, OPTIONAL const char *key,

OPTIONAL const char *source, OPTIONAL const char *desc);
```

An example use has already been given in section 3.3.

4.2 X509_STORE helpers

As the above core functions reuse the OpenSSL trust store data structure of type x509_STORE and such a structure is non-trivial to manage we provide helper functions for this purpose. For instance, the store needs to be initialized with trusted certificates and optionally with many other verification parameters such as Certificate Revocation Lists (CRLs), URLs of Certificate Distribution Points (CDPs), and Online Certificate Status Protocol (OCSP) responders. Certificates are typically held in files and thus need to be loaded while CRLs are typically retrieved online from CDPs and then cached in files or in memory. See also our general certificate validation guideline [Cert Valid].

The function STORE_load() sets up a new trust store and initializes it with the certificates held in the PEM, DER, or PKCS#12 file(s) with the comma-separated list of names given as the trusted_certs argument. It enables diagnostic output in the log that is very helpful for debugging in case certificate verification fails. It does not enable certificate status checks. The function returns the pointer to the constructed trust store on success, or NULL otherwise. In case of errors the string held in the optional desc parameter is used for forming error messages.

The function <code>certs_load()</code> loads the certificate(s) held in the PEM, DER, or PKCS#12 file(s) with the comma-separated list of file names in the <code>files</code> argument and returns the pointer to the loaded list of certificates on success, or <code>NULL</code> otherwise. These certificates can be used as auxiliary untrusted certs when constructing a <code>cmp_ctx</code> or <code>tls_ctx</code>. In case of errors the string held in the optional <code>desc</code> parameter is used for forming more descriptive error messages.

```
STACK_OF(X509) *CERTS_load(const char *files, OPTIONAL const char *desc);
```

The function **CERTS** free() deallocates any given list of certificates. It has no return value.

```
Void CERTS free (OPTIONAL STACK OF (X509) *certs);
```

The function <code>CRLs_load()</code> loads the CRL(s) held in the DER or PEM file(s) with the commaseparated list of file names in the <code>files</code> argument and returns the pointer to the loaded list of CRLs on success, or <code>NULL</code> otherwise. In case of errors the string held in the optional <code>desc</code> parameter is used for forming more descriptive error messages.

```
STACK OF(X509 CRL) *CRLs load(const char *files, OPTIONAL const char *desc);
```

The function **STORE_add_crls**() adds an optional list of CRLs to the given trust store and enables CRL-based status checks for end-entity certificates.

```
Bool STORE add crls(X509 STORE *truststore, OPTIONAL const STACK OF(X509 CRL) *crls);
```

The function CRLs free() deallocates any given list of CRLs. It has no return value.

```
Void CRLs free (OPTIONAL STACK OF (X509 CRL) *crls);
```

The function <code>store_set_parameters()</code> sets various optional verification parameters in the given trust store <code>truststore</code>; in more detail, it

- takes over any given OpenSSL certificate verification parameters vpm
- demands certificate status checks in case any of the OCSP- or CRL-related options is set. If in addition the full_chain option is set then all (except root) certificates are checked, else only end-entity certificates, i.e., the first certificate of each chain. For each certificate for which the status check is demanded the verification function will try to obtain the revocation status first via OCSP stapling if enabled, then from any locally available CRLs, then from any OCSP responders if enabled, and finally from any certificate distribution points (CDPs) if enabled.

Verification fails if no valid and current revocation status can be found or the status indicates that the certificate has been revoked.

- enables OCSP stapling, which makes sense only for TLS, if try stapling is set
- adds any CRLs provided in the crls argument and in this case enables CRL-based checks.
- enables CRL-based checks in case the use of CDP entries in certificates is enabled via the use_CDPs argument or a static URL for fetching CRLs is given as the CRLs_url argument (which is used as a fallback CDP), and
- enables fetching OCSP responses in case the use of AIA OCSP entries in certificates is enabled via the <code>use_AIAs</code> argument or a static OCSP responder URL is given as the <code>ocsp_url</code> argument (which is used as fallback to any AIA OCSP entries).

The function returns true on success and false otherwise. Further non-default trust store parameters may be set as far as needed using the various respective low-level OpenSSL functions.

```
Bool STORE_set_parameters (X509_STORE *truststore, OPTIONAL const X509_VERIFY_PARAM *vpm,
bool full_chain, bool try_stapling,
OPTIONAL const STACK_OF(X509_CRL) *crls,
bool use_CDPs, OPTIONAL const char *CRLs_url,
bool use AIAs, OPTIONAL const char *OCSP url);
```

Example use for setting up a trust store with use of statically and dynamically obtained CRLs:

```
X509_STORE *truststore = ...;
const x509_VERIFY_PARAM *vpm = NULL;
bool full_chain = true;
bool try_stapling = false;
const char *file =
```

The function STORE free() deallocates any given trust store. It has no return value.

```
Void STORE free (OPTIONAL X509 STORE *truststore);
```

4.3 EVP_PKEY helpers

The function <code>KEY_new()</code> generates a new private key of OpenSSL type <code>EVP_PKEY</code> according to the specification given as its <code>spec</code> argument, which may be of the form <code>"RSA:<length>"</code> or <code>"EC:<curve>"</code>. The RSA key length may be 1024, 2048, or 4096. The available ECC curves can be shown with the command <code>openssl ecparam -list_curves</code>. The function returns the new key on success and <code>NULL</code> otherwise.

```
EVP_PKEY *KEY_new(const char *spec);
```

An example use has been given in section 3.3.

Keys held in a crypto engine need to be generated by other (engine-specific) means.

The function <code>KEY_free()</code> deallocates the given key <code>pkey</code> and wipes its representation in memory if it is software-based. It has no return value. For HW-based keys it just deallocates the reference.

```
Void KEY_free (OPTIONAL EVP_PKEY *pkey);
```

4.4 SSL CTX helpers

The function <code>TLS_new()</code> sets up a new OpenSSL <code>ssl_CTX</code> structure with reasonable default parameters for HTTPS client connections. See also the Siemens TLS configuration [TLS_Conf] and integration guidelines [TLS_Integration]. Its optional arguments are the trust store <code>truststore</code> to use for authenticating TLS servers, a list of intermediate certificates <code>untrusted</code> that may be helpful when verifying TLS server certificates, the credentials <code>creds</code> to use for the client to authenticate to TLS servers, and the enabled cipher suites. All these parameters are not consumed, so should be deallocated by the caller.

The available cipher suite names can be shown with the command <code>openssl list -cipher-algorithms</code>. See also [OpenSSL-ciphers] how to specify them more abstractly.

The security level ranges from 0 (lowest) to 5. If -1 is given, a sensible value is determined from the cipher list if provided, else the OpenSSL default is used (which is currently 1). For details see [OpenSSL-sec-level].

The function returns the pointer to the new structure on success, or NULL otherwise. Further non-default TLS parameters may be set as far as needed using the various respective low-level OpenSSL functions.

The function TLS free() deallocates the given TLS context tls. It has no return value.

```
Void TLS_free(OPTIONAL SSL_CTX *tls);
```

4.5 X509 EXTENSIONS helpers

The function EXTENSIONS_new() initiates a list of X.509 extensions, which has OpenSSL type x509_EXTENSIONS, to be used in certificate enrollment. It returns the pointer to the new structure on success, or NULL otherwise.

```
X509_EXTENSIONS *EXTENSIONS_new(void) ;
```

The function <code>EXTENSIONS_add_SANs()</code> appends to the given list of X.509 extensions <code>exts</code> a list of Subject Alternative Names (SANs) given as a string <code>spec</code> of comma-separated domain names, IP addresses, and/or URIs optionally preceded by "<code>critical</code>," to mark them critical. It returns <code>true</code> on success and <code>false</code> otherwise.

```
Bool EXTENSIONS_add_SANs(X509_EXTENSIONS *exts, const char *spec);
```

The function <code>extensions_add_ext()</code> appends to the given list of X.509 extensions <code>exts</code> an extension of the given type, e.g., "basicContraints", "keyUsage", "extendedKeyUsage", or "certificatePolicies". Its value is given as a string <code>spec</code> of comma-separated names or OIDs optionally preceded by "critical," to mark the extension critical. The specification may refer to further details specified in the style of OpenSSL configuration file sections (see [OpenSSL-config]), which can be provided via the optional <code>sections</code> parameter. The function returns <code>true</code> on <code>success</code>, <code>false</code> otherwise.

Possible values for basic key usages are: "digitalSignature", "nonRepudiation", "keyEncipherment", "dataEncipherment", "keyAgreement", "keyCertSign", "cRLSign", "encipherOnly", and "decipherOnly". For a list of generally defined Extended Key Usage OIDs, see [OID-ref].

Possibly further such functions will be added later.

Example use:

The function EXTENSIONS free() deallocates the given structure exts. It has no return value.

```
void EXTENSIONS_free (OPTIONAL X509_EXTENSIONS *exts);
```

5. Appendix: C header file

```
**********
 * @file genericCMPclient.h
 * @brief generic CMP client library API
 * @author David von Oheimb, CT RDA ITS SEA, David.von.Oheimb@siemens.com
 * @copyright (c) Siemens AG, 2018. The Siemens Inner Source License - 1.1
#ifndef GENERIC_CMP_CLIENT_H
#define GENERIC CMP CLIENT H
/* for low-level CMP API, in particular, type CMP CTX */
#include <openssl/cmp.h>
typedef OSSL CMP CTX CMP CTX; /* for abbreviation and backward compatibility */
typedef int CMP err; /* should better be defined and used in openssl/cmp.h */
#define CMP OK \overline{0}
#define CMP R LOAD CERTS 255
#define CMP_R_LOAD_CREDS 254
#define CMP_R_GENERATE_KEY 253
#define CMP R STORE CREDS 252
^{\prime \star} further error codes are defined in ../cmpossl/include/openssl/cmperr.h ^{\star \prime}
#define CMP_IR OSSL_CMP_PKIBODY_IR
#define CMP_CR OSSL_CMP_PKIBODY_CR
#define CMP_P10CR OSSL_CMP_PKIBODY_P10CR
#define CMP_KUR OSSL_CMP_PKIBODY_KUR
#define CMP RR
                   OSSL CMP PKIBODY RR
#ifndef cplusplus
typedef enum { false = 0, true = 1 } bool; /* Boolean value */
#define OPTIONAL /* marker for non-required parameter, i.e., NULL allowed */
/* private key and related certificate, plus optional chain */
typedef struct credentials {
    EVP PKEY *pkey;
                                       /* can refer to HW key store via engine */
           *cert;
                                       /* related certificate */
    x509
    OPTIONAL STACK_OF(X509) *chain; /* intermediate/extra certs for cert */
    OPTIONAL const char *pwd; /* alternative: password (shared secret) */
OPTIONAL const char *pwdref; /* reference identifying the password */
} CREDENTIALS;
typedef enum {
    LOG EMERG, LOG ALERT, LOG CRIT, LOG ERR,
    LOG WARNING, LOG NOTICE, LOG INFO, LOG DEBUG
} severity;
typedef int (*LOG cb t) (OPTIONAL const char *file, int lineno,
                           severity level, const char *msg);
/* CMP client core functions */
/st should be called once, as soon as the application starts st/
CMP_err CMPclient_init(OPTIONAL OSSL_cmp_log_cb_t log_fn);
/* must be called first */
CMP err CMPclient prepare (CMP CTX **pctx,
                            OPTIONAL OSSL_cmp_log_cb_t log_fn,
                            OPTIONAL X509 STORE *cmp truststore,
                            OPTIONAL const char *recipient,
                            OPTIONAL const STACK OF (X509) *untrusted,
                            OPTIONAL const CREDENTIALS *creds,
                            OPTIONAL const char *digest,
                            OPTIONAL OSSL_cmp_transfer_cb_t transfer fn, int total timeout,
                            OPTIONAL X509_STORE *new_cert_truststore, bool implicit_confirm);
^{\prime} must be called next in case the transfer_fn is NULL, which implies HTTP_transfer ^{*\prime}
/* copies server and proxy address (of the \overline{	ext{form}} "<name>[:<port>]") and HTTP path *,
CMP_err CMPclient_setup_HTTP(CMP_CTX *ctx, const char *server, const char *path,
                               int timeout, OPTIONAL SSL_CTX *tls,
                               OPTIONAL const char *proxy);
static const char *const http prefix = "http://";
```

```
/* only one of the following activities can be called next, only once for the given ctx */
/* the structure returned in *new_creds must be deallocated by the caller */
CMP_err CMPclient_imprint(CMP_CTX *ctx, CREDENTIALS **new creds,
                           const EVP_PKEY *newkey, const char *subject,
                           OPTIONAL const X509 EXTENSIONS *exts);
CMP_err CMPclient_bootstrap(CMP_CTX *ctx, CREDENTIALS **new creds,
                             const EVP_PKEY *newkey, const char *subject,
                             OPTIONAL const X509 EXTENSIONS *exts);
CMP_err CMPclient_pkcs10(CMP_CTX *ctx, CREDENTIALS **new creds,
                          const X509 REQ *csr);
CMP_err CMPclient_update(CMP_CTX *ctx, CREDENTIALS **new_creds,
                         const EVP PKEY *newkey);
/* reason codes are defined in openssl/x509v3.h */
CMP err CMPclient revoke(CMP CTX *ctx, int reason);
/* must be called after any of the above activities */
void CMPclient_finish(CMP_CTX *ctx);
/* CREDENTIALS helpers */
CREDENTIALS *CREDENTIALS_new(OPTIONAL const EVP_PKEY *pkey,
                              OPTIONAL const X509 *cert,
                              OPTIONAL const STACK OF (X509) *chain,
                              OPTIONAL const char *pwd,
OPTIONAL const char *pwdref);
void CREDENTIALS free(OPTIONAL CREDENTIALS *creds);
/* certs is name of a file in PKCS#12 format; primary cert is of client */
/* source for private key may be "[pass:<pwd>]" or "engine:<id>" */
CREDENTIALS *CREDENTIALS_load(OPTIONAL const char *certs, OPTIONAL const char *key,
                               OPTIONAL const char *source,
                               OPTIONAL const char *desc/* for error msgs */);
bool CREDENTIALS save(const CREDENTIALS *creds,
                       OPTIONAL const char *certs, OPTIONAL const char *key,
                       OPTIONAL const char *source, OPTIONAL const char *desc);
/* LOG helpers */
void LOG_close(void);
/* X509 STORE helpers */
/* trusted certs is name of a file in PEM or PKCS#12 format */
X509 STORE *STORE load(const char *trusted certs, OPTIONAL const char *desc);
STACK OF (X509) *CERTS load(const char *files, OPTIONAL const char *desc);
void CERTS free (OPTIONAL STACK OF (X509) *certs);
STACK OF (X509 CRL) *CRLs load(const char *file, OPTIONAL const char *desc);
void CRLs free (OPTIONAL STACK OF (X509 CRL) *crls);
bool STORE add crls(X509 STORE *truststore, OPTIONAL const STACK OF(X509 CRL) *crls);
/* also sets certificate verification callback: */
bool STORE_set_parameters(X509_STORE *truststore,
                           OPTIONAL const X509_VERIFY_PARAM *vpm,
                           bool full chain, bool try stapling,
                           OPTIONAL const STACK OF (X509 CRL) *crls,
                           bool use_CDPs, OPTIONAL const char *CRLs_url,
                           bool use AIAs, OPTIONAL const char *OCSP url);
void STORE_free(OPTIONAL X509_STORE *truststore);
/* EVP PKEY helpers */
EVP PKEY *KEY new(const char *spec); /* spec may be "RSA:<length>" or "EC:<curve>" */
void KEY free (OPTIONAL EVP PKEY *pkey);
/* SSL CTX helpers for HTTPS */
SSL_CTX *TLS_new(OPTIONAL X509_STORE *truststore,
                 OPTIONAL const STACK OF (X509) *untrusted,
                 OPTIONAL const CREDENTIALS *creds,
                 OPTIONAL const char *ciphers, int security_level);
void TLS_free(OPTIONAL SSL_CTX *tls);
/* X509 EXTENSIONS helpers */
X509 EXTENSIONS *EXTENSIONS new(void);
/* add optionally critical Subject Alternative Names (SAN) to exts */
bool EXTENSIONS_add_SANs(X509_EXTENSIONS *exts, const char *spec);
/* add extension such as (extended) key usages, basic constraints, policies */
bool EXTENSIONS_add_ext(X509_EXTENSIONS *exts, const char *name,
                         const char *spec, OPTIONAL BIO *sections);
void EXTENSIONS_free (OPTIONAL X509_EXTENSIONS *exts);
#endif /* GENERIC CMP CLIENT H */
```