

# Federal Public Key Infrastructure Policy Authority (FPKIPA)

## Minutes of the 13 January 2004 Meeting *1800 F Street, Room 5141B, Washington, DC*

**A. AGENDA**

- 1) Introductions
- 2) Approval Vote on Minutes from 9 December 2003
- 3) Status of Email Votes Since Last FPKIPA Meeting
- 4) Federal Identity Credentialing Committee (FICC) Report
- 5) FPKI Certificate Policy Working Group (FPKI CPWG) Report
- 6) FBCA Operational Authority (FBCA OA) Report
- 7) Other Topics
- 8) Next Meeting Plans / Meeting Adjourned

**B. VOTING MEMBER ATTENDANCE LIST**

- 1) Department of the Treasury – Michelle Moldenhauer
- 2) Department of Commerce – Proxy by Tim Polk, NIST
- 3) Department of Justice – Absent
- 4) Department of Defense – Proxy by Dave Hanko
- 5) General Services Administration – David Temoshok
- 6) Office of Management & Budget – Absent
- 7) National Aeronautics and Space Administration – Tice DeYoung
- 8) National Finance Center – Absent

**C. MEETING ACTIVITY**

**Agenda Items 1 & 2**

**Introductions / Vote on Approval of Meeting Minutes:**

Ms. Michelle Moldenhauer Chair of the FPKIPA, opened the meeting at 0945 with attendee introductions. Regarding the 9 December FPKIPA meeting minutes, Mr. Mark Lentz received comments prior to the meeting and GSA recommended some corrections during this meeting. The meeting minutes were unanimously approved per the following vote record:

<b>Approval vote for 9 December 2003 Meeting Minutes</b>			
<b>Voting members</b>	<b>Vote (Motion – GSA; 2<sup>nd</sup> – DoD)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice (proxy by FPKIPA Chair)	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC (proxy by FPKIPA Chair)	X		

### **Agenda Item 3**

#### **Status of Email Votes Since Last FPKIPA Meeting**

The following results of email votes requested since 9 December were reported:

FPKI Architecture – This email vote was requested on 10 December with only the following votes received:

Yes – Treasury, DoD, Justice, and NFC.

No – NASA

Department of State (DoS) Compliance Audit Letter Review – This email vote was requested on 18 December with no votes received. Therefore, this vote will be repeated at this meeting.

### **Agenda Item 4**

#### **FPKIPA Charter Revision – Service Provider Usage**

Dr. Peter Alterman, NIH, and Dr. Tice DeYoung, NASA, collaborated on this FPKIPA revision to address the use of PKI Service Providers by Federal Agencies and how that affects FPKIPA membership and voting status. In Section 3.1.2.1, everyone agreed that the last sentence before the three numbered bullets should make it clear that all three of the numbered bullets must be true for an organization to be a voting member of the FPKIPA.

GSA recommended editing Section 3.1.2.1, Bullet #2 to allow for an organization to either operate their own Registration Authority (RA) or to employ contractors to operate the RA.

There was also several opinions shared regarding Section 3.1.2.1, but in the end everyone agreed with the wording in the revised Charter. Basically, if an Agency just purchases PKI service and policy from a PKI Service Provider, and doesn't control or manage the PKI, then there is no reason to include that Agency in the FPKIPA as a voting member. Instead, the PKI Service Provider will be allowed to be a participant in the FPKIPA, representing their clients' interests in discussions on FPKIPA policy and practices.

### **Agenda Item 5**

#### **Federal Identity Credentialing Committee (FICC) Report:**

Karen Evans is the new Administrator for IT at OMB.

OMB released the E-Authentication Guidance for Federal Agencies on December 16, 2003. This guidance is part of the Policy framework that describes and explains how we are going to do authentication online.

The original goal of the Federal Smart Card IAB was to buy smart cards across the board, develop smart card specifications, and develop smart card contracts across government agencies. This group meets monthly with participation from Federal agencies and Industry groups.

The Smart Card Policy Working Group has drafted a policy document that will be vetted through OMB for comments.

The Identity Assurance Working Group will try to link physical security and IT security together, as well as ratify the IA policy.

The Physical Access Interagency Interoperability Working Group (PAIIWG) is trying to resolve the following: card authentication (25 bytes versus 40 bytes), the coding of cards, and contact versus contact-less cards. The PAIIWG is also responsible for updating the smart card implementation guide.

The Smart Card Data Modeling Working Group has held two meetings to discuss the cardholder unique ID string, the qualification levels (security and restriction), and the demographic levels (interface and pay).

The Smart Card Topology Working Group needs to define a common element on the different types of cards that agencies deploy. They also need to define potential universal ID card elements, such as: name, US Government, expiration date, common color-coding for contractors and occupants, and symbols for law enforcement (E), childcare (C) and property pass (P).

Several Federal agencies (DoD, DOI, NASA, and VA) went in together on the Smart Card Aggregated Buy for volume discounts by ordering large volumes of smart cards in the January 2004 timeframe. The expected delivery date for these smart cards is April 2004. It's not too late for other agencies to participate, since there will be another buy this year. These smart cards are GSCIS compliant.

The PKI Shared Service Providers Working Group is currently developing requirements for Shared Service Providers (SSP) as well as requirements for archiving. This group will be delivering a solicitation (Notice of Intent) to potential SSP vendors in the January 2004 timeframe. They expect responses back from potential SSP vendors in the February 2004 timeframe, and they expect to approve those SSP vendors in the March 2004 timeframe. This group will also witness SSP vendor demonstrations as well as review an agencies compliance audit report.

## **Agenda Item 6**

### **FPKI Certificate Policy Working Group (FPKI CPWG) Report:**

Mr. Tim Polk provided information on the upcoming Knowledge Based Authentication (KBA) Symposium at NIST on 9-10 February 2004. He handed out a printout of the symposium information on the NIST website. The registration cost is \$55. The second day is only a half-day session, ending at 12:30. Since this second day is also the day that the February FPKIPA meeting is currently scheduled, and most of the FPKIPA members will probably attend this symposium, a new time and possibly date will need to be scheduled for the February FPKIPA meeting. This topic will be discussed again at the end of this meeting.

**Department of State (DoS)** – The DoS Compliance Audit letter was sent to the CPWG for review and approval on 18 December 2003 by email. However, no comments or vote recommendations were received from CPWG members so this will be voted on during this meeting. This is the last cross certification criteria that must be approved by the FPKIPA prior to approving DoS for cross certification. Mr. Polk distributed the Certificate Policy Mapping Report for DoS and explained the history of the DoS CP mapping process, which had been completed by the CPWG on 24 October 2003, and the challenges that faced the DoS with their Compliance Audit prior to its current version. There were no questions regarding the readiness of DoS for cross certification.

Prior to voting on the DoS mapping report, the FPKIPA voting process for cross certification was discussed. Prior to the FBCA Cross Certification Signing Ceremony in September 2002, the FPKIPA accepted the verbal report of completion of technical interoperability testing and only voted on the CP mapping, compliance audit, and the overall cross certification approval of an applicant. Since that time, the FPKIPA has voted for some technical testing but it hasn't been consistent in what criteria are voted on for each cross certification applicant. To illustrate the status of each current cross certification applicant, Mr. Lentz distributed a spreadsheet entitled, "FBCA Cross Certification Status Sheet" and explained the status information represented in the spreadsheet. This spreadsheet will be distributed at each FPKIPA meeting to show the status of each cross certification applicants. After discussing the cross certification approval process, the attendees agreed that from now on each of the cross certification criteria and the overall cross certification need to be FPKIPA approved by voting. The spreadsheet will be modified to reflect this new FPKIPA approval process.

The FPKIPA cast separate approval votes for the DoS CP Mapping, Audit Letter, and the overall cross certification at the High level of assurance, according to the following vote records:

<b>Approval vote for DoS CP Mapping</b>			
<b>Voting members</b>	<b>Vote (Motion – NASA; 2<sup>nd</sup> – DoD)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice (proxy by FPKIPA Chair)	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC (proxy by FPKIPA Chair)	X		

<b>Approval vote for DoS Compliance Audit letter</b>			
<b>Voting members</b>	<b>Vote (Motion – Commerce; 2<sup>nd</sup> – NASA)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice (proxy by FPKIPA Chair)	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC (proxy by FPKIPA Chair)	X		

<b>Approval vote for DoS Cross Certification at the High level of assurance</b>			
<b>Voting members</b>	<b>Vote (Motion – Treasury; 2<sup>nd</sup> – Commerce)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice (proxy by FPKIPA Chair)	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC (proxy by FPKIPA Chair)	X		

**CPWG Meeting Schedule** – Tim will coordinate a meeting schedule with IATAC for the next several CPWG meetings and inform the CPWG via the mail list.

### **Agenda Item 7**

#### **FBCA Operational Authority (OA) Report:**

##### ***Status of FBCA Certification & Accreditation (C&A)***

Mr. Darron Tate reviewed the status of the FBCA Certification & Accreditation, stating the following highlights:

- The FBCA OA is continuing to stabilize the new architecture, to ultimately make the FBCA a Managed Service by 2005.
- Implementation of the migration plan for connecting the Luna CA3 to the CAs in the production FBCA made progress in the past month with testing completed successfully.
- The installation of the Microsoft CA, expected to be completed by 6 January 2004, is still pending, waiting for delivery of the Microsoft CA.

- The FBCA OA held a meeting with the DAA to explain the results of the mini-risk assessment. He was happy with the results of the mini-risk assessment.
- A full Certification & Accreditation (C&A) is still scheduled for 8 March 2004.
- A cross certificate was successfully issued to the State of Illinois on 19 December 2003.

**Status of FBCA/Applicant Cross-Certification Technical Testing:**

There was no activity in the area of Technical Testing since the December FPKIPA meeting.

**Status of CA Testing:**

The FBCA OA has not heard from either ACES/ORC or ACES/AT&T about their readiness to participate in testing with the FBCA OA.

## **Agenda Item 8**

### **Other Topics:**

#### **FBCA OA Activity Report**

DoD asked the FBCA OA two questions about the latest FBCA OA Activity Report and they were resolved to the satisfaction of the DoD. The more critical of the questions was about the indication in the FBCA OA Activity Report that the DoD cross certificate had expired. This was accurate and all the FBCA OA needed to receive was an updated MOA between the DoD PKI and the FPKIPA. The new MOA has actually been updated and signed by the DoD PKI and the FPKIPA and is ready to submit to the FBCA OA after this meeting.

## **Agenda Item 9**

### **Next Meeting Plans / Meeting Adjourned:**

The next FPKI PA Meeting was scheduled for 10 February 2004 from 09:30-12:30 at the GSA facility located at 1800 F Street, Room 5141B, Washington, DC. However, because of the KBA Symposium at NIST, discussed earlier in the meeting, a new time and/or date needs to be scheduled for the next FPKIPA meeting. Everyone thought that having the FPKIPA meeting at NIST after the KBA Symposium was over on 10 February, was a good idea. So, Mr. Polk will reserve a room at NIST North and the next FPKIPA meeting will be held on 10 February starting at 2:00pm.

The meeting adjourned at 11:30am.

**D. LIST OF ATTENDEES**

<b>NAME</b>	<b>Email</b>	<b>Telephone</b>	<b>Organization</b>
Alterman, Peter	altermap@mail.nih.gov	301.252.8846	HHS
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Davis, Russell	rdavis@fdic.gov	703.516.5107	FDIC
DeYoung, Tice	tice.f.deyoung@nasa.gov	703.872.8615	NASA
Dilley, Brian	brian.dilley@evalid8corp.com	443.250.7681	eValid8
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Faut, Nathan	nfaut@educause.edu	301.335.2656	HEBCA
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Hoyle, Judith	jhoyle@fdic.gov	202.416.4088	FDIC - OIG
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Tate, Darron	darron.tate@mitretek.org	703.610.1905	MTS
Temoshok, David	david.temoshok@gsa.gov	202.208.7655	GSA

**E. CURRENT ACTION ITEMS**

<b>No.</b>	<b>Action Statement</b>	<b>POC</b>	<b>Start Date</b>	<b>Target Date</b>	<b>Status</b>
004	Define the audit criteria (Web Methods, SAS70, PAG) that will be used to conduct C&A sessions for the FBCA and FBCA OA.  14 January 2003 – This delta report of what is covered by each C&A technique has been deferred until the completion of the FBCA Criteria and Methodology documents.	Tice DeYoung, NASA	08 April 2002  Updated – 14 Jan 2003  Updated – 13 May 2003	13 Jan 2004 FPKIPA meeting	<b>Open</b> – reassigned to GSA/FTS, Cheryl Jenkins (as of 14 Jan 2003) and Tice DeYoung (13 May 2003)
031	MOAs for the Cross Certification applicants, DoD, NASA, Treasury and USDA/NFC need to be sent to the FBCA OA in original format with signatures.	IATAC/ FPKIPA Chair	14 Jan 2003  Updated – 13 May 2003	9 Dec 2003 FPKIPA meeting	<b>Open</b>
043	Establish policy to reflect the changing interoperability needs of the multiple membrane members, and forward requested	Tim Polk, NIST	13 May 2003	13 Jan 2004 FPKIPA	<b>Open</b>

No.	Action Statement	POC	Start Date	Target Date	Status
	changes to Mr. John Cornell for review before sending out to the working group members.			meeting	
048	Solicit participants with a real application to do business with Canada.	Judy Spencer, GSA	10 June 2003	13 Jan 2004 FPKIPA meeting	<b>Open</b>
050	The State of Illinois MOA should be written to reflect that any changes to their CPS must be forwarded to the FPKIPA and that both the CP and CPS from the State of Illinois were used for the mapping comparison with the FBCA CP.	Tim Polk, NIST	10 June 2003	9 Dec 2003 FPKIPA meeting	<b>Open</b>
053	Review FBCA CP to address “verified credentials”. This will be done at the upcoming off-site meeting.	CPWG	10 June 2003	Dec 2003 or next CPWG meeting	<b>Open</b>
057	Write a short paper that says from here forward the FBCA OA will limit FBCA acceptance testing to systems that demonstrate enhanced assurance through NIAP testing.	Tim Polk, NIST	8 July 2003 Updated – 9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Open</b>
060	Submit a revised MOA and a proposal for implementation of a new DoD cross certification certificate within 90 days.	Dave Hanco, DoD	9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Closed, 13 Jan 2004 FPKIPA meeting</b>
061	Incorporate the new FBCA CP Change Proposals (2003-01 through 2003-05) into the FBCA CP, dated 10 September 2002, and forward the resulting FBCA CP to the FPKIPA webmaster for posting to the Federal PKI web sites.	IATAC	9 Sept 2003	31 Dec 2003	<b>Open</b>
062	Define the NIAP certification requirement for future bridge membrane applications.	Tim Polk, NIST	9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Open</b>
066	Develop text for the FPKIPA Charter regarding the sunset clause for voting members of the FPKIPA who are not cross certified members of the FBCA.	Tim Polk, NIST	18 Nov 2003	13 Jan 2003 FPKIPA meeting	<b>Open</b>
067	Develop the Letter of Authorization for Cross Certification for the ACES/DST for FPKIPA signature.	IATAC	18 Nov 2003	9 Dec 2003 FPKIPA meeting	<b>Closed, 10 Feb 2004 FPKIPA meeting</b>

No.	Action Statement	POC	Start Date	Target Date	Status
068	Compose the Microsoft approval letter for the FPKIPA Chair to sign.	Cheryl Jenkins, GSA	18 Nov 2003	19 Dec 2003	<b>Open</b>
069	Develop the Letter of Authorization for Cross Certification for the State of Illinois for FPKIPA signature.	IATAC	18 Nov 2003	9 Dec 2003 FPKIPA meeting	<b>Closed, 13 Jan 2004 FPKIPA meeting</b>
070	Determine if NASA will participate in a collaborative effort with the Canadian Space Agency to prove feasibility of applications working between two organizations with PKIs cross-certified with the FBCA.	Tice DeYoung, NASA	18 Nov 2003	31 Dec 2003	<b>Open</b>
071	Distribute the DoS Compliance Audit Report information to and solicit any remaining comments from the CPWG before the DoS CP is recommended for approval at the High level of assurance and the DoD PKI for FPKIPA approval for cross certification at the High level of assurance.	IATAC	9 Dec 2003	12 Dec 2003	<b>Closed, 18 Dec 2003</b>
072	Update the FPKI Architecture diagram, based on the 9 December 2003 FPKIPA meeting discussion, and distribute it to the FPKIPA voting members for approval via email vote.	Cheryl Jenkins, GSA	9 Dec 2003	12 Dec 2003	<b>Closed, 10 Dec 2003</b>