

# **Federal Public Key Infrastructure Policy Authority (FPKIPA)**

## **Minutes of the 18 November 2003 Meeting**

*1800 F Street, Room 5141A, Washington, DC*

### **A. AGENDA**

- 1) Introductions
- 2) Vote on Approval of Meeting Minutes
- 3) FPKIPA Membership for Managed PKI Services
- 4) FPKIPA Charter Revision Recommendation Addressing Non-Cross Certified FPKIPA Members
- 5) Federal Identity Credentialing Committee (FICC) Report
- 6) FPKI Certificate Policy Working Group (FPKI CPWG) Report
- 7) FBCA Operational Authority (FBCA OA) Report
- 8) Other Topics
- 9) Next Meeting/Meeting Adjourned

### **B. VOTING MEMBER ATTENDANCE LIST**

- 1) Department of the Treasury – Absent
- 2) Department of Commerce – Proxy by Tim Polk, NIST
- 3) Department of Justice – Proxy by Marty Burkhouse
- 4) Department of Defense – Proxy by Dave Hanko
- 5) General Services Administration – Proxy by John Cornell
- 6) Office of Management & Budget – Jeanette Thornton
- 7) National Aeronautics and Space Administration – Tice DeYoung
- 8) National Finance Center – Kathy Sharp

### **C. MEETING ACTIVITY**

#### **Agenda Items 1 & 2**

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

Mr. Tim Polk, serving as Chair of the FPKIPA in the absence of Ms. Michelle Moldenhauer, opened the meeting at 0945 with attendee introductions. DoD introduced Ms. Debbie Mitchell as a new member of the DoD PKI PMO and NFC stated that Linda Goodwin will be a backup to Ms. Kathy Sharp for Federal PKI work. Regarding the 14 October FPKIPA meeting minutes, Mr. Mark Lentz received feedback from two sources prior to the meeting and DoD recommended a correction during this meeting. Mr. Tice DeYoung motioned to approve the minutes and Mr. Dave Hanko seconded the motion.

The meeting minutes were unanimously approved according to the following vote record:

<b>Approval vote for 14 October 2003 Meeting Minutes</b>			
<b>Voting members</b>	<b>Vote</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury (proxy by Peter Alterman)	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB	X		
NASA	X		
NFC	X		

### **Agenda Item 3**

#### **FPKIPA Membership for Managed PKI Services**

Mr. DeYoung initiated discussion and proposed the idea that since VeriSign and ACES have gone through the CPWG process for Certificate Policy mapping with the FBCA CP, they should be allowed to participate for mutual benefit in the FPKIPA meetings and the FPKIPA charter should be updated to accommodate any agencies that are using a Managed PKI Service.

The discussion on this topic revolved around the recognized trend of evolving participants in the Federal PKI community and the idea that the future FPKIPA will be working more with industry, vendors, and other countries. This will force the FPKIPA to alter the way it thinks and functions. Some of the attendees foresee Managed PKI Services contributing a management perspective and influence in the FPKIPA.

**ACTION: Mr. DeYoung and Mr. Alterman volunteered to craft the language for the FPKIPA charter.**

The attendees agreed with Mr. DeYoung's proposal and a motion for a vote on this issue was made by Mr. DeYoung and seconded by Mr. Dave Hanko, with the following voting record:

<b>Vote to update the FPKIPA Charter to accommodate the inclusion of Managed PKI Services in the FPKIPA, but not as members with voting privileges.</b>			
<b>Voting members</b>	<b>Vote</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury (proxy by Peter Alterman)	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB	X		
NASA	X		

NFC	X		
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#### **Agenda Item 4**

##### **FPKIPA Charter Revision Recommendation Addressing Non-Cross Certified FPKIPA Members**

Mr. DeYoung also initiated this discussion and proposed that the FPKIPA Charter be updated to include a sunset clause for the FPKIPA member agencies that do not have a PKI cross certified with the FBCA (Department of Commerce, Department of Justice, and OMB) to complete the cross certification process or face termination as voting members of the FPKIPA. The main reason to initiate this proposal is to be fair to the PKIs that have gone through the process and not continue to allow the non-cross certified organizations to be a part of making decisions regarding other PKIs/organizations that are endeavoring to participate with the FBCA.

It was pointed out that some of the FPKIPA voting members, such as OMB, have been included as a voting member for other reasons than having PKIs. Mr. Polk added that the Department of Commerce, as an enterprise PKI, is not intending to be cross certified with the FBCA, but some elements within the Department, namely NIST and the Patent and Trademark Office (PTO), are working toward achieving cross certification in the near future.

It was also pointed out that FY06 (1 October 2005 – 30 September 2006) is the deadline that has been established as the last year that Federal agencies will be allowed to establish a PKI without it being a part of their budget plans.

Overall, the sunset clause idea for the FPKIPA Charter seemed like a good idea and using FY06 seemed appropriate, based on the facts discussed in the meeting.

**ACTION (66): Mr. Tim Polk will develop text for the FPKIPA Charter by the 13 January 2004 FPKIPA meeting regarding the sunset clause for voting members of the FPKIPA who are not cross certified members of the FBCA.**

#### **Agenda Item 5**

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

Ms. Judith Spencer, Federal Identity Credentialing Committee (FICC), started this report by mentioning that the Smart Card Working Group has established 5 smaller groups to address key issues of interoperability, such as topology, data sets, policy, etc.

The GSA Smart Card Handbook, currently about 300 pages, is in the process of being updated. It goes a long way toward being a Smart Card “How To” guide for the FICC community, as well as being a general Smart Card education and implementation resource.

The PKI Shared Services Providers (SSP) Working Group within the FICC, led by Fred Cato in Veteran Affairs, has held 2 meetings to date, with the next one planned for 24 November. They have made some progress on the requirements for SSPs and started putting together documents.

The first meeting to address identity management issues was held. A contractor participation issue, which is really a FAR issue, is being addressed.

Within the Smart Card Working Group, some personnel from the Department of Homeland Security have shared some lessons learned from the Transportation Worker ID Card (TWIC) Program that has been very helpful.

Ms. Spencer also shared that the Smart Card Working Group is compiling requirements and planning to have them finalized by 24 December 2003 for the first Smart Card procurement. The next step would be to follow through with a purchase so that they would be delivered and be fully compliant by March 2004.

### Agenda Item 6

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

Mr. Polk reported that since the October 2003 FPKIPA meeting, three entities have finished up all the criteria to be ready for voting for approval by the FPKIPA, for three different types of approval. These three entities (and their respective approvals) are ACES/DST (Medium level of assurance - cross certification), VeriSign (Medium level of assurance – mapping comparison only, not cross certification), and Microsoft (successful completion of their interoperability testing with the FBCA). An email vote request was sent out to the FPKIPA voting members but only the VeriSign vote received all the votes from the voting members. Therefore, a vote for ACES/DST and Microsoft were taken during this meeting, according to the following voting records:

<b>Approval vote for ACES/DST for successful CP mapping and cross certification at the Medium level of assurance, acceptance of the letter of a successful compliance audit, and approving the FPKIPA to generate an authorization letter for cross certification from the FPKIPA Chair to the FBCA OA Program Manager</b>			
<b>Voting members</b>	<b>Vote</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury (proxy by Peter Alterman)	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA			X
OMB			X
NASA	X		
NFC	X		

**ACTION (67): IATAC should develop the Letter of Authorization for Cross Certification for the ACES/DST for FPKIPA signature.**

<b>Approval vote for Microsoft for successful interoperability testing with the FBCA</b>			
<b>Voting members</b>	<b>Vote</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of the Treasury (proxy by Peter Alterman)	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense			X
GSA	X		
OMB			X
NASA	X		
NFC	X		

**ACTION (68): Ms. Cheryl Jenkins will compose the Microsoft approval letter for the FPKIPA Chair to sign.**

Mr. Polk asked IATAC to provide a regular report at FPKIPA meetings on the status of any email votes that have occurred since the last FPKIPA meeting.

Mr. Polk reminded the attendees and the PKIs and organizations that they represent that compliance audits should be done yearly, per a FISMA requirement, not a FBCA CP requirement.

The Department of State (DOS) CP has been mapped at the medium level of assurance. As soon as we receive a copy of the updated DOS compliance audit letter, the FPKIPA Chair will send a memo to the FBCA OA to issue the DOS CA a cross-certification certificate.

### **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 stabilizing the new architecture. The Microsoft vote taken earlier in this meeting will help to facilitate the inclusion of the Microsoft CA into the FBCA by January 2004.
- The FBCA OA is currently testing the Luna CA3 and the Sureware Keeper Hardware Security Module (HSM). Testing of the evaluation copy of these products is planned for the week of 24 November 2003 and if all goes well then the plan is to make some equipment purchases during the week of 1 December 2003.

- A mini-risk assessment will be conducted once the Entrust CA is upgraded from WindowsNT to the Windows2000 Operating System.
- The FBCA OA is expecting a report from the DAA on 12 December. Assuming this report does not raise any issues or concerns, the installation of the latest Entrust CA and Microsoft CA should be completed by 6 January 2004.
- As far as longer range planning, System Test & Evaluation (ST&E) on the FBCA is tentatively planned to start during the week of 8 March 2004.

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

**Department of Labor**

The FBCA OA has learned that the new Department of Labor POC is Cornelius Johnson but no progress has been made toward starting technical testing.

**State of Illinois**

Technical interoperability testing is scheduled to start on 20 November. A compliance audit letter from Deloitte & Touche regarding the State of Illinois PKI has been received and approved by the CPWG.

**ACTION (69): IATAC should develop the Letter of Authorization for Cross Certification for the State of Illinois for FPKIPA signature.**

**Government of Canada**

The last obstacle before cross certification is getting applications to work between subscribers in different organizations that have PKIs cross certified with the FBCA. The latest idea of organizations to work with to demonstrate this capability is NASA and the Canadian Space Agency. Some existing testing of working applications across the FBCA have been between NFC and the Department of the Treasury and also between the Environmental Protection Agency (EPA) and the State of Illinois PKI pilot.

**ACTION (70): Mr. Tice DeYoung will 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.**

Ms. Jenkins reported that the Path Discovery & Validation (PD-VAL) Working Group has been making good progress understanding the use of the AIA certificate extension for successful path discovery for subscribers working with others using certificates in organizations that have PKIs cross certified with the FBCA. The PD-VAL is also developing application interface requirements to publish for vendors to develop products that are “FBCA-aware”.

**Status of CA Testing:**

Ms. Jenkins reported that, as far as the topic of the sunset clause on testing CAs for inclusion in the FBCA membrane (reference Action Items #57 and #62) there haven't been any new CA products submitted to the FBCA for testing recently.

## Agenda Item 8

### Other Topics:

#### MOA Template revision recommendation addressing periodic review of approved MOAs

Mr. Gene McDowell led this discussion and suggested that the following sentence be added to “Section XI. Date of Effect” of the MOA Template, regarding a suggested regular review period:

“Although this MOA has no expiration date, it should be periodically reviewed, updated as necessary, and re-affirmed by the Parties.”

The wording of this modification was suggested to instill the importance of maintaining accuracy in the MOAs but to not be as binding as a mandatory yearly review. The FBCA OA informed the attendees that the FBCA Information System Security Manager currently validates all the active MOAs between the FBCA and the cross certification members on a yearly basis.

However, the MOA wording was seen as a helpful and non-binding improvement, so Mr. Polk made a motion to accept the wording of the modification and Mr. DeYoung seconded the motion. Here is the vote record on this issue:

Approval of modification for period reviews of MOAs to the MOA Template			
Voting members	Vote		
	Yes	No	Abstain
Dept of the Treasury (proxy by Peter Alterman)	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by Tim Polk, FPKIPA acting chair)	X		
NASA	X		
NFC	X		

#### Demo announcement

Mr. Peter Alterman announced that there will be a Webcast on the afternoon of 11 December 2003 to demonstrate a real-time certificate validation using the NIH/Educause PKI Pilot. Members of the FPKIPA listserv can expect an email invitation and the associated RSVP requirements in the near future about this event.

#### New PKI Working Group announcement

It was announced that a new PKI working group has been formed, called the Electronic Authentication Partnership. Its initial focus is to get industry involved and to take responsibility for certifying PIN/Password credentialing schemes. The kickoff meeting of this group will be a discussion from 9am – Noon on 11 December 2003 at the Washington, DC Convention Center.

#### Review of Action Items:

Mr. Lentz pointed out that the Action Item list has been updated to include a new “Target Date” column and also actual dates for closed action items in the “Status” column, per discussion at the

14 October FPKIPA meeting. When asked if they were agreeable to the suggested dates indicated in the “Target Date” column for their Action Items, the attendees were unanimously in agreement with them.

- **Action Item #60** - The status of DoD submitting a revised MOA was requested. DoD stated that they have already submitted a revised MOA. The FBCA OA stated that they will review the new MOA and once it is approved this action item will be completed.

### Agenda Item 9

**Next Meeting/Meeting Adjourned:**

The next FPKI PA Meeting is scheduled for 9 December 2003 from 09:30-12:30 at the GSA facility located at 1800 F Street, Room 5141A, Washington, DC.

The meeting adjourned at 12:00 noon.

#### D. LIST OF ATTENDEES

NAME	Email	Telephone	Organization
Alterman, Peter	altermap@mail.nih.gov	301.252.8846	HHS
Burkhouse, Marty	martin.t.burkhouse@usdoj.gov	202.616.4574	DoJ
Cornell, John	john.cornell@gsa.gov	202.501.1598	GSA
Davis, Russell	rdavis@fdic.gov	703.516.5107	FDIC
DeYoung, Tice	tice.f.deyoung@nasa.gov	703.872.8615	NASA
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Sharp, Kathy	kathy.sharp@usda.gov	504.255.5638	USDA/NFC
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Tate, Darron	darron.tate@mitretek.org	703.610.1905	MTS
Thornton, Jeanette	jthornto@omb.eop.gov	202.395.3562	OMB

## E. CURRENT ACTION ITEMS

No.	Action Statement	POC	Start Date	Target Date	Status
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 changes to Mr. John Cornell for review before sending out to the working group members.	Tim Polk, NIST	13 May 2003	13 Jan 2004 FPKIPA meeting	<b>Open</b>
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	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	8 July 2003  Updated – 9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Open</b>

<b>No.</b>	<b>Action Statement</b>	<b>POC</b>	<b>Start Date</b>	<b>Target Date</b>	<b>Status</b>
059	Contact Kathy Sharp, USDA/NFC, to see who in Treasury is working with NFC to help the Office of the Federal Registry (OFR).	Treasury	9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Closed</b> <b>18 Nov 2003</b>
060	Submit a revised MOA and a proposal for implementation of a new DoD cross certification certificate within 90 days.	Dave Hanko, DoD	9 Sept 2003	9 Dec 2003 FPKIPA meeting	<b>Open</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>Open</b>
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>Open</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>