



Federal PKI Policy Authority

Charter

For

Operations

Version 2.0

10 July 2007

Record of Changes

Date	Version	Change
DD MM YYYY	1.0	Original
09 July 2002	1.1	Non interoperable changes, no affect to current compliant members
10 September 2002	1.2	Changes made to accommodate comments received from FPKI PA participants between 9-28 July 2002
10 February 2004	1.3	Adding information concerning Federal Agencies using Shared Service Providers
23 March 2004	1.4	Editorial correction to input text in Section 6.1 that was supposed to be part of the changes made for Version 1.3.
08 February 2005	1.5	Changes made to address changes in the FPKIPA voting process, the use of proxies, and the FPKIPA meeting planning standards.
09 August 2005	1.6	Changes made to resolve inconsistencies within the Charter, and with the FPKI PA By-Laws and Operational Procedures and Practices
26 September 2005	1.7	Two new sections (2.2 and 2.3) were added and subsequent sections were re-numbered.
04 October 2005	1.7RGW	Review comments
10 November 2005	1.8	Format and textual emendations per comments
13 December 2005	1.8	Review comments
23 January 2006	1.8	Added voting requirement for re-issuance of a cross-certification (Table 1) and language allowing a member to declare him/herself an <i>ex officio</i> member at any time (3.1.4)
1 March 2006	1.8	Qualifying the voting requirement in Table 1
10 March 2006	1.8	Added new sub-section, 3.1.5
5 April 2006	1.8.1	Added language explaining Charter Membership
27 March 2007	1.9	Modified to reflect changes in Crits & Methods
10 July 2007	2.0	Annual Review and Document Reorganization

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Charter of the Federal Public Key Infrastructure Policy Authority

1.0 BACKGROUND AND PURPOSE

1.1 BACKGROUND

The Federal Public Key Infrastructure Policy Authority (FPKI Policy Authority) sets policy governing operation of the Federal Bridge Certification Authority (FBCA), the Federal Common Policy Framework (FCPF) Certification Authority, the Citizen & Commerce Class Common (C4) Certification Authority, and the E-Governance Certification Authorities (EGCA), approves applicants for cross certification with the FBCA and the C4 CA, and provides oversight for the PKI Shared Service Provider program. It was created by and operates under authority of the Federal CIO Council. It serves the interest of U.S. Government organizations as relying parties, and promotes interoperability between Federal and non-Federal entities.

The FPKI Policy Authority is composed of entities who wish to interoperate and exchange digital certificates that have been signed by their Certification Authority with the FBCA, or who have deployed PKIs under the Shared Service Provider Program and who have demonstrated their interest in participating in the work of the Policy Authority.

1.2 PURPOSE

The FBCA enables discrete Public Key Infrastructures (PKI) to trust digital certificates issued by other entities with which it has been policy-mapped and cross-certified at known Levels of Assurance (LOA). The Common Policy CA, cross-certified with the FBCA, serves as the Federal government's trust anchor and root certification authority for trusted third party providers operating under the Shared Service Provider program. The C4 Certification Authority cross-certifies with commercial and other external PKIs at a trust level separate from those found in the FBCA, and the EGCA's provide secure server certificates to credential service providers and relying party applications evaluated by the E-Authentication Program for purposes of mutual authentication during interchanges to validate credentials.

Determinations by the FPKI Policy Authority facilitate trust, but do not prescribe the criteria by which relying parties accept digital certificates from external sources for transactions; all entities are free to accept or reject any digital certificate issued by any other entity at their sole discretion, using available FPKI Policy Authority determinations to assist in making informed decisions.

2.0 RESPONSIBILITIES OF THE POLICY AUTHORITY

The FPKI Policy Authority has the following responsibilities:

2.1 CP/CPS CHANGE AND APPROVAL

- Approving the FBCA Certificate Policy (CP), including revisions.
- Approving the Common Policy Framework CP, including its revisions.
- Approving the Citizen and Commerce Class CA CP, including revisions.
- Approving the eGov CA CP, including revisions.
- Approving the Federal PKI Architecture CPS.

2.2 APPROVAL OF ENTITY CROSS-CERTIFICATION

- Establishing and administering the *Criteria and Methodology for Cross-Certification with the U.S. FBCA or C4CA* [CRITS&METHODS] for entities wishing to cross-certify with the Federal PKI architecture (FPKIA), including the approval of all entity cross-certifications.
- Maintaining the FPKI Mapping Comparison Matrices and the Common Policy CPS Evaluation Matrix to ensure continued accuracy and relevance in relation to the supported policies.

2.3 MAINTAIN COMPLIANCE

- Maintaining participant compliance with the ongoing requirements of the Federal PKI Architecture (FPKIA), including the determination and execution of remedies and actions for non-compliance and unacceptable risk:
 - Ensuring cross-certified entities remain compatible with the FBCA
 - Ensuring cross-certified entities are operationally compliant with their own policies.
 - Ensuring that providers in the Shared Service Provider Program comply with the ongoing requirements for participation
 - Ensuring that entities cross-certified with the C4 CA comply with requirements for such relationship.

2.4 AGREEMENT WITH FPKI OPERATIONAL AUTHORITY

- Establishing and maintaining a relationship with the Federal PKI Operational Authority (FPKI OA), to include:
 - (a) The FPKI OA will issue or revoke cross-certificates with Federal organizations, State, Local, Foreign Governments, or private entities in accordance with the various Certificate Policies established by the Federal PKI Policy Authority.

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- (b) The FPKI Policy Authority may review FPKI OA activities for compliance with the policies and practices in its purview, as stated above, and in related Certification Practice Statements.

2.5 INTEROPERABILITY PRACTICES

- Coordinating legal, policy, technical, and business practices and issues related to FPKIA interoperability.

2.6 CHARTER AND BY-LAWS

- Establishing and maintaining a charter and bylaws for its own operations.

3.0 MEMBERSHIP AND ORGANIZATION

3.1 MEMBERSHIP

Membership in the FPKI Policy Authority is open to Federal agencies that have cross-certified with the Federal Bridge, Federal agencies using PKI certificate services acquired through approved cross-certified service provider programs, cross-certified non-governmental PKIs and PKI bridges, the designated charter members, and ex officio members as designated in Section 1. 3.1.2.1.

Where the Federal applicant administering the PKI is a subordinate entity of either a Cabinet-level Department or an independent entity of comparable stature, membership shall be vested in the superior organization, unless otherwise determined by the Department or Agency.

Membership terminates if and when the Entity ceases to operate its self-signed CA and/or changes its PKI model to a service provider model and chooses not to continue participation in the Policy Authority.

3.1.1 Voting Membership

Voting membership on the Federal PKI Policy Authority is reserved for Federal entities as follows:

3.1.1.1 FBCA Cross-Certified Federal Entities

Executive Branch agencies, independent commissions and organizations, Legislative Branch entities, etc. that operate self-signed PKIs that have successfully completed the process of cross-certifying with the FBCA in accordance with the [CRITS&METHODS] are voting members of the Policy Authority.

3.1.1.2 Charter Membership

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In order to establish the FPKI Policy Authority and allow it to begin its work, six Federal agencies were included as Charter Members.

The following Federal organizations are Charter members in the FPKI Policy Authority, and are granted representation on the Certificate Policy Working Group, if desired:

- 1) Office of Management and Budget (now ex officio)
- 2) Department of Justice
- 3) General Services Administration
- 4) Department of the Treasury
- 5) Department of Defense
- 6) Department of Commerce

3.1.1.3 Agencies Acquiring Certificate Services from Shared Service Providers

Providers of PKI certificate services to Federal organizations are recognized and included under the Federal PKI architecture through both the Shared Service Provider (SSP) program and the GSA Access Certificates for Electronic Services (ACES) program.

Federal Agencies acquiring PKI certificate services from a Shared Service Provider or ACES vendor are eligible for voting membership on the PA under the following circumstances:

- a) The Agency expresses a desire to be a voting member of the PA, evidenced by completion of an application for membership.
- b) The Agency takes an active role in the deployment of digital credentials
- c) The Agency makes the requisite commitment of time and resources as evidenced by regular Policy Authority and working group participation

3.1.2 Non-Voting Membership

3.1.2.1 Ex Officio Membership

The following FPKI Organizations shall have ex officio membership:

- (1) Chair of the Federal Identity Credentialing Committee;
- (2) Program Manager, Federal PKI Operational Authority
- (3) Office of Management and Budget

Ex officio membership does not confer voting privileges. However, the opinions of ex officio members are valued by the Policy Authority and considered prior to vote. In addition, ex officio members are welcome to participate on working groups and subcommittees at their discretion.

A charter member may choose *ex officio* status whenever it so chooses, upon written confirmation to the Chair of the Policy Authority.

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3.1.2.2 Non-Government Entities

Non-governmental PKIs and PKI bridges that cross-certify with the FBCA or C4CA through the procedures described in CRITS&METHODS are considered non-voting members. Their opinions on all issues under consideration by the Policy Authority are valued and considered prior to vote. Non-voting, cross-certified members are encouraged to provide representatives to the CPWG.

3.1.3 Temporary non-Voting Status for Cross-Certified Agencies

Agencies that do not provide evidence of completion of an annual audit that has no significant deficiencies, or who allow their cross-certificates to expire, will have their voting privileges temporarily suspended.

An agency may voluntarily place itself in this status prior to the date that either of these events occurs, or the FPKIPA Chair shall notify the agency that they have been involuntarily placed in this status after the respective dates.

An agency may return to full voting membership by providing evidence of completion of a non-deficient compliance audit for the former case or by submitting a PKCS-10 cross-certificate request to the FPKI Operational Authority and receiving the signed certificate and placing it in their CA Directory in the latter case.

3.2 OBSERVERS

The FPKI Policy Authority recognizes the following organizations as Observers:

- (a) Members of the Federal Identity Credentialing Committee;
- (b) Director of the GSA E-Authentication Program Management Office;
- (c) Organizations whose application for cross-certification are under consideration;
- (d) FPKI Shared Service Providers and ACES vendors; and
- (e) Other entities invited at the discretion of the FPKI Policy Authority.

The FPKI Policy Authority will identify those activities not open to Observer participation.

Observers do not have voting privileges on the FPKI Policy Authority.

3.3 COMMITTEES/WORKING GROUPS

The FPKI Policy Authority may create, participate in, or have temporary or permanent subordinate committees or working groups as determined by a vote of the membership, to support the policy activities of the Federal PKI Architecture.

4.0 OFFICERS

4.1 CHAIR

The FPKI Policy Authority shall have a Chair selected by majority vote of the voting membership. The FPKI Policy Authority Chair shall serve a two-year term. A sitting Chair may, by a majority vote, be allowed to hold the position for a second two-year term. However, voting members shall be given 30 days in which to nominate a different candidate prior to voting the sitting Chair a second term. In no circumstances shall a Chair hold the position for more than four consecutive years.

The Chair shall designate an alternate to perform the functions of this office in his or her absence.

The Chair may step down prior to the end of a two-year term. In doing so, the Chair shall give at least 60-days notice, except in emergency situations, in which case the Chair shall designate an alternate to perform the functions of this office until an emergency election can be held. Such emergency elections shall be held within 30 days of the effective date of the outgoing Chairperson's resignation.

4.2 SECRETARY

The FPKI Policy Authority shall have a Secretary appointed by the Chair. The Secretary shall record, seek the Chair's approval and distribute minutes of all FPKI Policy Authority meetings to participants, and be responsible to the Chair for all administrative matters.

5.0 OPERATIONS

5.1 MEETINGS

FPKI Policy Authority meetings shall be held on a regular schedule as determined by the FPKI Policy Authority Chair. The Chair or, in his or her absence, the designated alternate, shall preside over all meetings and votes.

At least five working days' prior public notice shall be given for all FPKI Policy Authority meetings.

The quorum necessary for the FPKI Policy Authority to transact official business shall be two-thirds (2/3) of the voting membership. A transmitted proxy to an attending member shall also count towards a quorum. The FPKI Policy Authority may meet to discuss business without a quorum; however, formal decisions shall not arise from such a meeting.

5.2 VOTING

Voting may be performed at an FPKI Policy Authority meeting, or through remote means (teleconferencing, e-mail, or letter). Each member is expected to cast a vote, except when recusal is necessary owing to a conflict of interest. voting members shall not vote upon their own application for initial or subsequent cross-certification with the FBCA.

Members failing to vote when a vote is called shall be recorded as “Absent.” If as a result the final vote tally, including proxies (see Section 5.2.1), lacks a quorum, the vote will be rescheduled.

All members will be given five days’ notification before any vote is to be called, except in case of an emergency or after a discussion at a Policy Authority meeting. All votes shall be recorded and the results of voting will be published in the Minutes of the Policy Authority meetings.

Table 1--Required Majorities

Action Requiring FPKIPA Vote	Votes Needed for Passage
1. Approve FPKIPA meeting minutes.	Majority of votes cast
2. Approve FPKIPA Charter revisions.	75% majority of all voting members
3. Approve FPKI Certificate Policies and changes.	75% majority of all voting members
4. Approve FPKIA CPS and changes.	75% majority of all voting members
5. Approve FPKI OA Operating Agreement (Charter)	Majority of votes cast
6. Approve FBCA and C4CA Application	Majority of votes cast
7. Elect FPKIPA Chair	Majority of all voting members
8. Establish subordinate committees/work groups	Majority of votes cast
9. Directions to FPKI OA to revoke certificates for non-administrative circumstances. (CP §.4.9.3.)	Majority of votes cast
10. Approval of Entity Cross Certification, including: a. Policy Mapping; b. Compliance Audits; c. Interoperability testing; and d. Memorandum of Agreement.	75% majority of votes cast
11. Approval of Guidance/Policy Documents	66% majority of votes cast
12. Determination of remedies/actions to be taken for CP, CPS noncompliance.	75% majority of all voting members
13. Determination of remedies/actions to be taken for unacceptable risk.	75% majority of all voting members
14. Determination to restore FBCA interoperability following cross-cert revocation	75% majority of votes cast
15. Vote to re-issue a member’s cross-certification*	75% majority of votes cast
16. Vote to reinstate a member’s voting privileges	75% majority of votes cast

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*A vote to re-issue a member's cross-certificate is required only under extraordinary circumstances and for cause as determined by the FPKI Policy Authority. Routine reissue of cross-certificates does not require a vote.

5.2.1 Proxies

A member may grant a voting proxy to another voting member or to the FPKI Policy Authority Chair. The proxy must specify whether it is for a particular issue or is a blanket proxy and whether it is for a single meeting or remains valid until revoked in writing.

Proxies may be submitted to the Chair or to the designated member by paper or signed email. The designee must have the proxy in hand prior to any vote in which the proxy is used.

If the voting member who issued the proxy is present at the covered or subsequent meeting, he or she may revoke the proxy by informing the Chair and the Secretary in open session. If a voting member is not present and has not provided a proxy, the vote shall show that the member is absent.

5.2.2 Electronic Voting

When a member votes by electronic means (e.g., email), the electronic vote shall be signed to indicate the member's intent to vote and confirm that member's identity. The electronic vote shall contain a valid PKI digital signature or, at a minimum, "\s\" along with the full signature block of the member. Failure to use either of the above methods shall cause the electronic vote to be considered invalid and not counted in the tally.

6.0 CHARTER REVISIONS

The FPKI PA shall review this Charter for Operations annually, and shall update it as often as necessary. The annual review should preferably begin in January of each year, but in no case later than the regularly scheduled meeting in March. Revisions to this Charter may be made upon at least a 75% majority vote of the voting membership, with each voting member having one vote. Once approved changes have been accepted, the "Record of Changes" section of this document will reflect the date, revision, and changes accepted for historical tracking of this living document.

7.0 NOMENCLATURE

PKI Certificate Services

The provision of any or all aspects of the life-cycle management of a Public Key Infrastructure on behalf of another.

Vendor

Within the context of this document, any commercial entity that provides PKI certificate services for a fee.

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[Federal] Organization

Any independent Federal government entity as defined in 5 U.S.C. § 105. It shall include legislative and judicial branch agencies.

Applicant

Any organization that has applied for membership within the Federal PKI Policy Authority

Representative

The person (primary or alternate) who has been chosen by an entity to attend meetings of the FPKI Policy Authority as a Member or Observer.

Voting member

Any **Federal Organization** that has been determined to be eligible to vote on FPKI Policy Authority matters as set forth in Section 3.1.1.

Charter member

The original members of the FPKI Policy Authority as set forth in Section 3.1.1.2.

Ex Officio member

The non-voting members of the FPKI Policy Authority as set forth in Section 3.1.2.1.

Observer

Any entity that has been approved by the FPKI Policy Authority to attend its meetings, as set forth in Section 3.2, or contractor support to any Voting, *Ex Officio*, or Observer entity.