

Federal Public Key Infrastructure Policy Authority (FPKIPA)

Minutes of the 17 April 2006 Meeting

GSA Headquarters Building; 1800 F Street; Room 5141A; Washington, DC

A. AGENDA

- 1) Welcome & Opening Remarks / Introductions
- 2) Discussion / Vote on Minutes from 14 March 2006 FPKIPA meeting
- 3) Results of e-Vote on CertiPath Interoperability Testing
- 4) Vote on the revised Charter Language
- 5) Wells Fargo Medium Hardware MOA-Status
- 6) FPKI Certificate Policy Working Group (CPWG) Report
 1. Vote on the DEA CSOS Mapping at the Medium Level of Assurance
 2. Discussion on CertiPath Bona fides and Business Processes
 3. Discussion on CertiPath Mapping at 4 LOAs
 4. Report on Harmonization with the Common Policy
 5. Report on Preliminary Audit Guidelines Mapping
- 7) E-Auth PMO Service Agreement Discussion
- 8) FPKI Operational Authority (FPKI OA) Report
 1. PD-Val Interoperability Testing Proposal & Flow Chart
 2. Status of FBCA/Applicant Cross-Certification Technical Testing
- 9) Final Meeting Items
 - Other topics
 - May 9, 2006 FPKIPA Meeting
- 10) Adjourn Meeting

B. ATTENDANCE LIST

VOTING MEMBERS

The meeting started without a quorum. There were six (6) of twelve voting members present. OMB continues to be an ex-officio member and the Department of Energy is currently a non-voting member because of its audit status. Because there was no quorum, it was an informational meeting. No votes were taken.

Organization	Name	Email	Telephone
Department of Commerce (NIST)	Polk, Tim		
Department of Defense	Absent		
Department of Energy	Not currently a voting member		
Department of Health & Human Services	Alterman, Peter		
Department of Homeland Security	Absent		
Department of Justice	Morrison, Scott		
Department of State	Absent		
Department of the Treasury	Absent		
GPO	Hannan, John		
GSA	Temoshok, David		
NASA	DeYoung, Tice		
OMB	Ex-Officio Member		
USDA/NFC	Absent		
USPTO	Absent		

OBSERVERS

Organization	Name	Email	Telephone
FPKI/FICC	Spencer, Judith		
Department of State (ManTech)	Froehlich, Charles R.		
FPKI OA Program Manager	Jenkins, Cheryl		
FPKI/FICC Support (FC Business Systems)	Petrick, Brant		
Enspier (Secretariat)	Fincher, Judy		
Enspier	Lazerowich, Steve		
Wells Fargo	Drucker, Peri		
Department of the Treasury (eValid8)	Dilley, Brian		
NIST	McDowell, Gene		
Department of State	Gregory, Steven		

C. MEETING ACTIVITY

Agenda Item 1

Welcome & Opening Remarks / Introductions—Dr. Peter Alterman

This meeting took place at the GSA Central Office Building, 1800 F Street, Washington, DC, in Room 5141A. Dr. Peter Alterman of HHS and Chair of the FPKIPA called the meeting to order at 9:40 a.m. with attendee introductions.

Agenda Item 2

Discussion/Vote on Minutes from 14 March 2006 FPKIPA Meeting—Ms. Judy Fincher

Ms. Fincher stated that comments were received from NASA, HHS and from Mr. Brant Petrick and were incorporated.

Because there was no quorum, the vote to approve the 14 March 2006 minutes was deferred until the May 9 FPKIPA meeting.

ACTION: Judy Fincher is to set up a meeting for Dr. Peter Alterman, Tim Polk and Judy Fincher the first week in May 2006 to review the action items list.

Agenda Item 3

Results of the e-Vote on CertiPath Interoperability Testing— Dr. Peter Alterman

Dr. Alterman reported that nine (9) of twelve (12) voting members voted to approve the CertiPath Interoperability Testing results during the allotted time. This represents 75% of voting members where a 75% majority of eligible voters was required. The CertiPath Interoperability Testing results were approved. NASA initially abstained but changed its vote to Yes after CertiPath confirmed that no changes were made to their PKI since they successfully passed interoperability testing with the FBCA.

e-Vote on CertiPath Interoperability Testing			
Voting members	E-Vote		
	Yes	No	Abstain
Department of Commerce	Yes		
Department of Defense			Abstain
Department of Energy	Not currently a Voting Member		
Department of Health & Human Services	Yes		
Department of Homeland Security	Yes		
Department of Justice	Yes		
Department of State	Yes		
Department of the Treasury	Yes		
GPO	Yes		
GSA	Yes		
NASA			Abstain
OMB	Ex Officio Member		
USDA/NFC	Absent-Did Not Vote		
USPTO	Yes		

Agenda Item 4

Vote on the revised Charter Language—Dr. Tice DeYoung

Dr. DeYoung explained the edits he made to the Charter. He added a new subsection 3.1.5; added a section on the first four agencies that completed the cross-certification process; and added two line items to Table 1 regarding the need to vote to reinstate members who had become inactive due to the expiration of the cross-certificate and/or failure to provide documentation of an annual audit.

ACTION: Judy Fincher will edit the Charter document to fix a few typos in the text and footer and send it out to the FPKIPA listserv for an e-vote.

Agenda Item 5

Wells Fargo Medium Hardware MOA – Status—Dr. Peter Alterman

In John Cornell's absence, Dr. Alterman reported on the status of the Wells Fargo MOA. On March 24 John Cornell held a meeting of agency legal representatives and crafted three alternative versions of the MOA. The lawyers chose option two, which was sent back to Wells Fargo. This version included "hold harmless" language and raised the dollar cap on damages for each incident.

Peri Druker (Wells Fargo) reported that Wells Fargo will get their lawyer's response by the end of this week, for review by the Policy Authority next week.

ACTION: Judy Fincher will send out the agreed MOA language to the FPKIPA listserv for an e-vote next week.

Dr. Alterman noted that we should be able to certify Wells Fargo at the Medium Commercial Best Practices and Medium Hardware Commercial Best Practices Levels of Assurance at the next FPKIPA meeting on May 9.

David Temoshok wanted to know if the Wells Fargo MOA could serve as a template for other commercial CAs wishing to cross-certify with the Federal Bridge. This is a possibility, but will await formal approval of the Wells Fargo MOA by the FPKIPA e-vote. Peri Druker agreed this would be in line with the EAP and E-Authentication initiatives.

Agenda Item 6

FPKI Certificate Policy Working Group (CPWG) Report – Tim Polk

1. Vote on DEA CSOS Mapping at the Medium Level of Assurance

Tim Polk reported that the CPWG approved the DEA CSOS mapping at the Medium Level of Assurance at its April 7 meeting. The one remaining issue was satisfactorily resolved, i.e., use by the DEA CSOS of software cryptography for certain communications during the enrollment process. Since these communications could have been by phone and would have sufficed, the CPWG had no problem with the DEA CSOS using software cryptography to accomplish this task.

No vote was taken because there was no quorum and the CPWG mapping recommendation had not yet been received by the FPKIPA.

DEA CSOS still has not completed interoperability testing and its audit letter has not yet been finalized.

ACTION: Tim Polk will draft the DEA CSOS mapping recommendation on behalf of the CPWG and this will be voted on at the next FPKIPA meeting.

2. Discussion on CertiPath Bona fides and Business Processes

Mr. Polk noted that we do not normally vote on business processes, but that since CertiPath is a bridge, we will do so. We reviewed the CertiPath bona fides with John Cornell and he had no problems.

Mr. Polk reported that there will be a meeting with CertiPath on April 21 with DoD and other agencies that had reservations about CertiPath's CP, notably regarding § 9. Both the CertiPath and FBCA lawyers are happy with the bona fides and business processes and all remaining issues that DoD has should be addressed on April 21.

One issue remaining with the CP is the audit frequency. CertiPath wants to impose the same requirements on their member agencies that we apply to Federal agencies, e.g, the "delta" audit. Mr. Polk is not sure that Sarbanes Oxley is sufficient to allow non-government entities this option. "You'll have to convince me that it's not weakening the audit requirements," he stated.

Mr. Polk explained that CertiPath has an omnibus CP that covers the requirements for their bridge and that they are also running a separate CA which is equivalent to the FBCA's Common Policy root. CertiPath also has a PMA (Policy Management Authority) with representation from Raytheon, Rolls Royce, BAE, Northrup Grumman, Lockheed Martin, etc.

3. Discussion on CertiPath Mapping at Four (4) LOAs

Mr. Polk reported that the CertiPath bridge-to-bridge mapping is done, provided that the April 21 meeting between CertiPath, DoD and several other agencies does not change that. There are some detailed DoD issues, mostly from § 9 which we do not map. DoD is getting its § 9 requirements language from the DoD ECA.

At the May 9, 2006 FPKIPA meeting, the Policy Authority will be asked to vote on the CertiPath mapping, the audit letter and the bona fides/Business Processes.

4. Report on Harmonization with the Common Policy

The CPWG is meeting April 18-19 to continue its review of the 3647 version of the Common Policy CP, and will then start in on harmonization of the Common Policy with the FBCA.

5. Report on Preliminary Audit Guidelines Mapping

Dr. Alterman explained the background of the mapping he has tasked Enspier to do. Commercial PKIs are not under the same audit requirements as the federal government and he feels we need to provide guidance on security controls. Cheryl Jenkins and DoD are the lead points for this activity. Both have developed detailed security control requirements.

On March 21 the CPWG held a special audit workshop and at that workshop Dr. Alterman asked Enspier to determine the relevant government documents to be used in mapping specific security controls.

It was decided to map FIPS 200 and NIST Special Publication 800-53 against the FBCA CP, using the Moderate level (FIPS 199). Enspier has been asked to perform that work.

Dr. Alterman also reported on a workshop held to kick off an ISO activity for the FPKI OA, to make it ISO 27001 compliant. On April 13-14

Richard Wilsher of Zygma introduced Cheryl Jenkins to the Information Security Management System (ISMS), as the ISO/IEC 27001 series is known. The OA will be mapped to ISMS.

We are mapping both ISO standards and U.S. Government standards to the FBCA CP. In the future, if an international entity wants to cross-certify with the Federal Bridge and they are also ISO compliant, their cross-certification would be automatic.

There is interest from the European Union and the Transatlantic Secure Collaboration Program (TSCP) in cross certification, according to Judith Spencer. She will provide US input to the work stream on international audit guidelines. She reported that there are attempts to re-establish contact with the new PKI management of the Government of Canada and of Australia. The State of Kansas has also expressed interest in cross-certifying with the FBCA.

Agenda Item 7

E-Auth PMO Service Agreement Discussion—Dr. Peter Alterman

The Policy Authority has a draft Service Agreement with the E-Auth PMO, Dr. Alterman reported. The FPKIPA will provide boarding services for the E-Auth PMO. An expected meeting April 14 with the E-Auth PMO to review the draft did not happen.

Agenda Item 8

FPKI Operational Authority (FPKI OA) Report – Ms. Cheryl Jenkins

1. PD-Val Interoperability Testing Proposal & Flow Chart
Cheryl Jenkins does not see a need for this testing proposal, e.g., end-to-end interoperability testing of Relying Parties. She felt it is a business decision, not an issue for the FBCA-TWG.

ACTION: Dr. Alterman and Cheryl Jenkins will discuss the requirement for end-to-end interoperability testing of Relying Parties off line.

2. Status of FBCA/Applicant Cross-Certification Technical Testing (any changes in bold)

The testing with Boeing is continuing. They reconfigured their test environment, so they are starting the cross-certificate issuance all over again.

Ms. Jenkins reported that she is meeting next week with Treasury to draft MOA accountability controls for the FPKIPA. The existing controls are not specific enough in terms of time to respond.

ACTION: Judy Fincher is to set up a meeting between Dr. Peter Alterman and Cheryl Jenkins for early May to discuss MOA accountability controls.

<u>Completed</u>			<u>Current</u>	<u>Future</u>
Dept of the Treasury	Dept of Energy	USPTO	Boeing	Adobe
NASA	State of Illinois	DHS		USPS
USDA/NFC	Dept of Labor	HEBCA		DEA
DoD	ACES/DST	Wells Fargo		
DOJ	GPO			
DoD KMI	ACES/ORC			
Government of Canada	DoD ECA	CertiPath		
Dept of State	ACES/AT&T			

Agenda Item 9

Final Meeting Items—Dr. Peter Alterman

➤ Other Topics

Dr. Alterman announced that two non-government PKIs want to cross certify with the Federal Bridge: the State of Kansas and MIT Lincoln Labs. The State of Kansas does lots of regulatory business with the feds and cross-certification would be a de facto seal of approval. Lincoln Labs sent two copies of their actual audit which were not reviewed. All we need is their audit summary letter.

ACTION: Brant Petrick will let the State of Kansas know that someone from the FPKI Policy Authority will be contacting them.

Judith Spencer announced that rumors are circulating that the USDA/NFC is sunseting their service to other agencies, i.e., their SSP role, if not their entire PKI.

ACTION: Dr. Peter Alterman is to contact Randy Speed at the USDA/NFC OA and ask for their “official position” and termination plan, and contingency plan.

ACTION: John Hannan of the GPO is to follow up with Adobe regarding their cross-certification plans.

May 9, 2006 FPKIPA Meeting

The next FPKIPA meeting will be held on May 9, 2006 at the GSA Headquarters, 18th and F Streets, NW, Washington, D.C., from 9:30 a.m. until noon, in Room 5141A. (This was subsequently changed to the GSA location at 7th and D Streets, SW, Room 5060, due to our regular meeting room being remodeled.)

Agenda Item 9

Adjourn Meeting

The meeting adjourned at 11:00 AM.

CURRENT ACTION ITEMS

No.	Action Statement	POC	Start Date	Target Date	Status
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	Open
062	Define the NIAP certification requirement for future bridge membrane applications.	Tim Polk, NIST	9 Sept 2003	9 Dec 2003 FPKIPA meeting	Open
085	Test/evaluate the PKCS-12 usage issue and make a recommendation to the FPKIPA at a meeting in the near future.	Tim Polk, NIST	13 July 2004	12 October 2004 FPKIPA meeting	Open
136	Mr. Polk will task Mr. David Cooper to test the Adobe software at NIST [using the PKITS test suite for Path Discovery and Validation] by next month and will schedule a meeting with Adobe and the FPKIPA if the testing goes well.	Tim Polk, David Cooper	13 Sept. 2005	11 Oct. 2005	Open
138	Mr. Tim Polk will draft a White Paper before the September 13 FPKIPA meeting, to be distributed after the policy is finished and voted. Agencies need to know the "gap" between RFC 2527 and RFC 3647, since agencies will be required to re-write their CPs.	Tim Polk	9 August 2005	13 Dec. 2005	Open

No.	Action Statement	POC	Start Date	Target Date	Status
139	Ms Cheryl Jenkins will help Mr. Polk create a delta matrix table for agencies to use to measure their CPs [delta between RFC 3647 and RFC 2527].	Cheryl Jenkins	9 August 2005	13 Sept. 2005	Open
142	Dr. Peter Alterman needs to provide the following MOAs and LOAs to Mr. Darron Tate. <u>Organization</u> <u>Need to provide</u> ORC LOA DoD ECA LOA, MOA Wells Fargo LOA, MOA	Dr. Peter Alterman	13 Sept. 2005	11 Oct. 2005	Open
143	Mr. Tim Polk will schedule a CPWG meeting on the synchronization of the Common Policy, the FBCA Cert Policy, and FIPS 201.	Tim Polk	13 Sept. 2005	17 January 2006	Open
156	Make sure that Mr. Steve Duncan does this [issues certs under the new Profile] for the ACES vendors.	Steve Duncan	8 Nov. 2005	Ongoing	Open
159	Mr. David Temoshok of the GSA Office of Government-wide Policy will circulate a White Paper on the implementation of FPKI end-entity applications.	David Temoshok	8 Nov. 2005	10 Jan. 2006	Open
171	Once the ETSI WG finishes their review of our mapping to the ETSI Qualified CP, they have requested that we post the mapping matrices to a web site they will have access to. Mr. Brant Petrick will post the matrices, once the approved version is received.	Brant Petrick	13 Dec. 2005	January 2006	Open
187	Mr. Tim Polk and Ms. Judy Spencer will meet with DoD to conceptualize a plan to help DoD internally to upgrade its CA's and shore up its infrastructure (repositories).	Tim Polk, Judy Spencer, Dave Hanko	10 Jan. 2006	14 Feb. 2006	Open
188	Ms. Debbie Mitchell, DoD, will respond to Dr. Alterman by 1/13/06 with the answers to these questions: Should the DoD ECA be mapped to the FBCA Medium Hardware Level of Assurance? Is the cross-cert to be bidirectional or only one way?	Debbie Mitchell	10 Jan. 2006	13 Jan. 2006	Open
189	Ms. Cheryl Jenkins is to draft straw man language for the MOA to strengthen members' operational responsibilities, so as to preserve system integrity.	Cheryl Jenkins	10 Jan. 2006	14 Feb. 2006	Open

No.	Action Statement	POC	Start Date	Target Date	Status
191	Mr. Art Purcell will be put on the work team to provide information on federal regulations that govern storage of the documents that will be posted to the shared Document Management Services system on behalf of the Policy Authority.	Cheryl Jenkins	10 Jan. 2006	14 Feb. 2006	Open
193	Dr. Peter Alterman and the head of the OA will negotiate terms for the cross-certification process and add this language to the By-Laws document. This will be brought to the Policy Authority for a vote.	Dr. Peter Alterman, Head of the OA (Cheryl Jenkins?)	10 Jan. 2006	14 Feb. 2006	Open
199	DoD will send a list of issues that would need to be addressed to get DoD two-way cross-certified to Ms. Caldwell and Dr. Alterman.	Dave Hanko	14 Feb 2006	14 March 2006	Open
204	Ms. Jenkins will send an email to the FBCA TWG to inform them of the decision made by CPWG and will give them one week to return comments on the decision from the CPWG for moving forward.	Cheryl Jenkins	14 Feb 2006	?	Open
205	Dr. Alterman will distribute minutes of the Grid PMA meeting to the FPKI PA	Dr. Peter Alterman	14 Feb 2006	?	Open
210	Ms. Cheryl Jenkins and Dr. Tice DeYoung will schedule a FBCA-TWG meeting in April and will publish the agenda.	Cheryl Jenkins, Tice DeYoung	14 March 2006	15 April 2006	Open
211	Ms. Judy Spencer is to speak with Acting Federal Acquisition Service Commissioner G. Martin Wagner regarding leasing other space at the Willow Woods facility for the FPKIA operations center.	Judy Spencer	14 March 2006	31 March 2006	Open
212	Ms. Cheryl Jenkins is to develop a PD-Val Interoperability Testing Proposal & Flow Chart.	Cheryl Jenkins	14 March 2006	17 April 2006	Open
213	Judy Fincher is to set up a meeting for Dr. Peter Alterman, Tim Polk and Judy Fincher the first week in May, 2006 to review the action items list.	Judy Fincher	17 April 2006	24 April 2006	Open

No.	Action Statement	POC	Start Date	Target Date	Status
214	Judy Fincher will edit the Charter document to fix a few typos in the text and footer and send it out to the FPKIPA listserv for an e-vote.	Judy Fincher	17 April 2006	24 April 2006	Open
215	Judy Fincher will send out the agreed MOA language to the FPKIPA listserv for an e-vote next week.	Judy Fincher	17 April 2006	24 April 2006	Open
216	Tim Polk will draft the DEA CSOS mapping recommendation on behalf of the CPWG and this will be voted on at the next FPKIPA meeting.	Tim Polk	17 April 2006	9 May 2006	Open
217	Dr. Alterman and Cheryl Jenkins will discuss the requirement for end-to-end interoperability testing of Relying Parties off line.	Dr. Peter Alterman, Cheryl Jenkins	17 April 2006	9 May 2006	Open
219	Dr. Peter Alterman is to contact Randy Speed at the USDA/NFC OA and ask for their "official position" and termination plan.	Dr. Peter Alterman	17 April 2006	9 May 2006	Open
220	John Hannan of the GPO is to follow up with Adobe regarding their cross-certification plans.	John Hannan	17 April 2006	9 May 2006	Open