



The Federation for Identity and
Cross-Credentialing Systems®

FIXS[®] OPERATING RULES

Version 3.3

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FIXS® OPERATING RULES

Background

The Federation for Identity and Cross-Credentialing Systems® (FiXs®) is a not-for-profit 501c(6) trade association comprised of a coalition of industry and public sector organizations whose objective is to support efforts to develop standards supporting the creation and deployment of a secure interoperable identity cross-credentialing network. These Operating Rules define the rights, responsibilities and liabilities of FiXs® Member Organizations and those parties using FiXs®-Certified Credentials or supporting components of the FiXs®-Certified Network. The Rules are a part of a larger package of documents that lay the foundation for “trust” in the FiXs® Network. The other documents, known as the FiXs® Foundational Documents, include:

- The Trust Model;
- FiXs® Policy;
- Implementation Guidelines;
- The Technical Architecture and Specifications; and
- Security Guidelines.

The FiXs®-Certified Network provides a highly-scalable, secure, auditable solution set, whereby FiXs® Member Organizations and relying parties can authenticate and validate FiXs®-Certified Credentials issued to users from other participating organizations, or “Subscribers”, as well as authenticate the credentials issued by other related organizations (i.e. cross-credential). FiXs® relies on a Federated Model of Trust, which is discussed more fully in the FiXs® Trust Model. The federated identity model establishes trust between member organizations through the use of agreements, standards and technologies that make identity credential” portable across the organizations.

Initially, FiXs® established a trusted relationship between certain FiXs® Member Organizations and the Department of Defense (DoD), Defense Cross-Credentialing Identification System (DCCIS). The federation enabled participating DoD and industry facilities to achieve strong, and interoperable, identity verification and authentication of participating contractor/private sector personnel who present a company-issued trusted credential (i.e. FiXs®-Certified Credential). Similarly, participating industry locations also recognize a DoD-issued Common Access Card (CAC) and the Defense Biometric Identity System (DBIDS) credential, which required no modifications in order to operate with the FiXs® and DCCIS networks.

FiXs®, which is the only organization currently authorized to inter-operate a cross-credentialing system with DoD and can use its federated system to enable other government agencies, first responders, and industry partners to verify the identity of individuals who seek access to their physical or logical assets in either the government or commercial environment.

In a federated system each subscribing or participating organization maintains or controls its own data store of enrolled member data (“participants”) that the organization has sponsored. Privacy and security are maintained because minimal identity information is held centrally or maintained in the infrastructure except in the employee’s host organization domain server.

At the present time the Federal Government has defined four recognized levels of credentials

and/or trust. It is generally accepted that each level is defined by two distinct processes; one that defines the vetting process that is accomplished prior to a credential being issued; and the second defines the standards for the data, and its placement on the credential, and the standards and specifications for the credential/card itself. FiXs® has chosen to use a FIPS 201 compliant smart card specifications for all Levels of Trust. Thus, the main differentiation between the levels is primarily with the vetting process, documentation/verification, and biometric data collected, verified and maintained in the federated data model. This version of the FiXs® Operating Rules extend that paradigm into Logical Access functionality.

These FiXs® Operating Rules match logical access certified credentials will also contain the appropriate data designating under which Level of Trust the credential was issued and classified.

The current Government sanctioned nomenclature for “Levels” is numerical (i.e. 4, 3, 2, 1) and described below. FiXs® attempts to define these levels with a verbal designation of Trust Levels which offers its customers a descriptive context associated by level. Therefore, the remainder of this document and the accompanying guidelines, as specified by the Federal Government. For the highest levels of assurance, the FiXs®-Certified Credential shall hold and protect digital certificates that have been established and are certified to inter-operate with the Federal Government. Thereby, combining its federated system to enable other government agencies, first responders, and industry partners to reliably authenticate the identity of individuals who seek access to both physical and logical assets in either the government or commercial environment. In all cases however, the privileges or authorities actually granted is a decision of the cognizant system owner/manager.

At the present time the Federal Government has defined four recognized levels of credentials and/or trust. It is generally accepted that each level is defined by three distinct processes; one that defines the vetting process that is accomplished prior to a credential being issued; the second defines the standards for the data, and its placement on the credential, and the standards and specifications for the credential/card itself; and the third defines the chain of trust and accountability of these process (the subject of this document).

FiXs® standards entail the use the FIPS 201 compliant smart card specifications for all Levels of Trust. Thus, the differentiation between the levels is primarily with the vetting process, documentation/ verification, and biometric data collected, verified and maintained in the federated data model; as well as the life cycle management of the digital certificate and private keys issued to and protected by the credential. FiXs®-Certified Credentials also contain the appropriate data designating under which Level of Trust the credential was issued and classified.

The current Government sanctioned nomenclature for “Levels” is numerical (i.e. 1, 2, 3, & 4) and described below. FiXs® correlates these document will offer a corollary verbal description of levels to equate to the numerical levels with a textual designation of Trust Level that provides a descriptive context associated by each level. Therefore, the remainder of this document and the accompanying Guideline documents will provide a corollary textual description of levels to equate to the standard government numerical designation:

“High Trust” = 4; “Medium High Trust” = 3; “Medium Trust” = 2”; and “Low Trust”= 1”

Level 1 (FiXs® equivalent “Low”). This level (if required) is currently considered an

unacceptable level of trust for official Federal Government use purposes. FiXs® assigns the Low Level Trust (Level 1) the working definition of: a level of assurance that requires minimal proof of identity but no background check, and no document verification, therefore, it provides little or no level of trust assurance.

FiXs®-Certified Credential Issuers are not permitted to enroll Users at a Low Trust Level (1); load any data into a FiXs®-Certified Domain Server; nor attempt to authenticate such credentials across the FiXs®-Certified Network.

Examples of a Low Level (1) credentials are shopper discount cards and public email accounts. Because these “credentials” may be granted by non-FiXs® Members or Subscribers without any kind of identity verification, FiXs® Members or Subscribers are cautioned against granting rights to a bearer.

At a future date FiXs® may assess the validity, requirements, and resources required for this level of credential. The Level I – “Low” is not used currently.

The FiXs® Medium Trust Level (Level 2) applies to a level of assurance required by a specific implementation. This will require a background check, using commercially available sources of data, and fingerprints will be collected digitally at time of enrollment, solely for the purpose of linking to the issued credential. At this level the fingerprints **will not** be sent to the FBI for a National Criminal History Fingerprint Check.

The Medium Level may suit those commercial vendors who may require frequent access to facilities in order to provide deliveries; or stock shelves/vending machines; or provides maintenance services. This Medium Level may provide adequate acceptable risk for granting local privileges at lower threat levels, but may not be acceptable as threat levels rise. This level may also be used to accommodate persons who may temporarily work in positions of public trust, such as certain categories of first responders, health care workers or volunteers who help out at a disaster scene (i.e., Red Cross and other volunteers; public works employees; emergency technicians, etc.). The Medium Level credential can also be used for Commercial applications.

This level is intended for applications handling sensitive medium value information based on the relying party’s assessment, with the exception of transactions involving issuance or acceptance of contracts and contract modifications. Examples of medium assurance applications include:

- Non-repudiation for small and medium value financial transactions other than transactions involving issuance or acceptance of contracts and contract modifications
- Authorization of payment for small and medium value financial transactions
- Authorization of payment for small and medium value travel claims
- Authorization of payment for small and medium value payroll
- Acceptance of payment for small and medium value financial transactions

Level 3, (FiXs® equivalent “Medium High”) has not been defined by a Federal Directive or Policy at this point in time. FiXs® members and industry at-large, however, have a requirement for this level of credential and accordingly, FiXs® has developed standards to comply with this requirement and proposes these Guidelines to the Federal Government for consideration and adoption. FiXs®-Certified Credentials certified at Level 3 are aligned with PIV II (as defined in the FiXs® Operating Rules), but differ from PIV I provisions relating to the enrollment process.

The vetting and issuance process mirror the process performed by the Federal Government for a Level 4 credential with the exception of the use of commercial sources instead of having the involvement of the Office of Personnel Management (OPM). Accordingly, this assurance level of credential is considered as the “commercial equivalent” of the Level 4 credential. For logical access control purposes, the digital credential created and protected in this environment shall carry a medium hardware assertion. The DoD has defined this as “Medium Hardware Assurance” and General Services Administration (GSA) has designated this as “Common Hardware”.

Level 4, (FiXs® equivalent “High”) is aligned with Homeland Security Presidential Directive 12 (HSPD 12). HSPD 12, dated August 27, 2004, entitled “Policy for a Common Identification Standard for Federal Employees and Contractors” which directed promulgation of a federal standard for secure and reliable forms of identification for federal employees and contractors. In March 2006, the National Institutes of Standards and Technology (NIST) issued Federal Information Processing Standards 201 (FIPS 201) for Personal Identity Verification (PIV) of federal employees and contractors. The PIV standard consists of two parts – PIV-I and PIV-II. PIV-I satisfies control objectives, including enrollment requirements, of HSPD 12. PIV-II specifies implementation standards, including physical card characteristics, and use of identity credentials on integrated circuit cards for a federal personal identity verification systems. For logical access authentication purposes, a digital credential created and protected in this environment shall carry a hardware assertion. The DoD has defined this as “Medium Hardware Assurance” and GSA as “Common Hardware”.

Since Level 3 and 4, of “high” and “medium high assurance” credentials carry a hardware assertion, these logical credentials are available for all applications operating in environments appropriate for medium assurance but which require a higher degree of assurance and technical non-repudiation based on the relying party’s assessment. Examples include:

- All applications appropriate for medium assurance certificates
- Mobile code signing
- Applications performing contracting and contract modifications

The FiXs® Implementation Guidelines provides the specific requirements for the vetting of sponsored individuals requesting credentials in specific market/ functional venues. The accompanying Card Holder Unique Identifier (CHUID) section of the Guidelines deals with the specifics of the data and specifications of the card. Accordingly, these FiXs® Logical Operating Rules, the FiXs® Operating Rules and the FiXs® Implementation Guidelines are all complementary must be incorporated concurrently to implement FiXs® cross-credentialing physical and logical authentication services.

Historically, FiXs® has emulated many of its concepts and standards from the electronic payments industry. In the electronic payments industry, specific operating rules provide a uniform business and legal framework, as well as standard formats, for the exchange of financial payments among and between a diverse group of institutions and individuals. To rely on the principles already established for the payments industry, NACHA – The Electronic Payments Association, or formally known as the National Automated Clearing House Association, assisted with its knowledge and experience in development of the FiXs® Operating Rules. FiXs® also adopts standards-based certificate validation protocols that provide a flexible, cost effective, and robust validation solution ideally suited to a wide range of client applications

in diverse operating environments. At the core of this validation solution is a sophisticated digital certificate status responder capable of servicing Online Certificate Status Protocol (OCSP), Server-based Certificate Validation Protocol (SCVP), or CRL requests for full or delta CRL downloads; providing mechanisms to obtain and manage CA Certificates, Certificate Revocation Lists (CRL), and CA issued listings of non-sequential certificate serial numbers to service requests.

It is recognized that processing, or authenticating, an individual's identity credential is largely analogous to processing a payment. FiXs® encourages maximum participation among industry at-large to adopt this common set of standards to create a consistent, seamless, and secure operational framework and avoid the disruption and risks of implementing differing internal practices and platforms. The overall objective is to establish a secure and interoperable "Chain of Trust" for all members (including contractors, delivery and repair personnel, transport workers, law enforcement, first responders and others, needing access to facilities).

The FiXs® Implementation Guidelines document provides the specific requirements for the vetting of sponsored individuals requesting credentials at levels 1-3, and in specific market/functional venues. The accompanying CHUID section of the Guidelines deals with the specifics of the data and specifications of the card. Thus, these Operating Rules and the Guidelines must be read in tandem to execute FiXs® cross-credentialing services.

Historically, FiXs® has borrowed many of its concepts from the electronic payments industry. In the electronic payments industry, specific operating rules provide a uniform business and legal framework, as well as standard formats, for the exchange of financial payments. To rely on the principles already established for the payments industry, NACHA – The Electronic Payments Association assisted with its knowledge and experience in development of the FiXs® and DCCIS Operating Rules.

Since processing an employee's credentials is analogous to processing a payment, the FiXs® Operating Rules for cross-credentialing, encourage maximum participation among participating members that would otherwise use differing internal practices and platforms. The objective is to establish a secure and interoperable "Chain of Trust" for all members (including contractors, delivery and repair personnel, transport workers, law enforcement, first responders and others, needing access to facilities).

1 GENERAL REQUIREMENTS AND DEFINITIONS

This Section defines the requirements that need to be met for performing FiXs® operations. It describes the general requirements associated with FiXs® Member Organizations as well as administrative and system requirements in their roles as FiXs®-Certified Credential Issuers, Primary Trusted Organizations (PTOs) and Relying Parties. A **FiXs® Member** or **Member Organization** is a company, agency, or organization that has submitted a Membership Application with the Federation for Identity and Cross-Credentialing Systems, Inc. to join FiXs® in a membership category, and has been approved by the FiXs® Board of Directors, in accordance with Section 9. **The Federation for Identity and Cross-Credentialing Systems, Inc. (FiXs®)** is the legal entity that manages membership and maintains the FiXs® Foundational Documents. (See Definitions for the precise meaning of all capitalized terms.)

The role of major governed by these Rules is described below. There are two processes that are fundamental to the issuance of FiXs®-Certified Credentials. The first process requires that an organization sponsor an individual Participant into the FiXs®-Certified Network and the second process involves issuing the Participant a FiXs®-Certified Credential and processing Authentication Inquiries from Relying Parties. In the case of an Issuer Sponsor, described below, both of these roles are performed by the same FiXs® Member Organization.

- A **Participant** refers to the individual employee or subcontractor of a Member Organization that qualifies to participate in the FiXs®-Certified System.
- A **Credential Issuer** is a FiXs® Member that issues a FiXs®-Certified Credential to FiXs® Participants and processes and responds to Authentication Inquiries. A Credential Issuer is not responsible for the acts and omissions of the Participants to whom it issues Credentials.
- A **Sponsor** is an organization that uses the services of an Issuer Sponsor to host its FiXs® operations and that sponsors Participants into the FiXs®-Certified Network. A sponsor is responsible for the acts and omission of the Participants that it sponsors. There are two kinds of Sponsors – Member Organizations and Non-Member Organizations. In this case, the Issuer Sponsor hosts the Sponsor's FDS and processes its FiXs® authentication transactions.
- An **Issuer Sponsor** is a FiXs®-Certified Credential Issuer that also sponsors Participants to whom it issues FiXs®-Certified Credentials. This means that an Issuer Sponsor is a Member Organization that is both a Credential Issuer and a Primary Trusted Organization.
- A **Relying Party** relies on the FiXs®-Certified to authenticate the identity of a Participant and/or initiates authentication inquiries to the FiXs®-Certified Credential Issuer and processes the responses in accordance with FiXs® Operating Rules.
- A **Primary Trusted Organization (PTO) or Subscriber** is a member organization that sponsors individual employees or contractual agents of the PTO/Subscriber who are to be issued a FiXs®-Certified Credential in accordance with all FiXs®-Certified Processes, and policies and that agrees to be responsible for the acts and omissions of employees or Contractual Agents. These organizations must agree to and execute the current FiXs® Terms of Use Agreement for use of such credentials.
- **The FiXs® Trust Broker** is the operational intermediary between FiXs®-Certified

Credential Issuers and Relying Parties that serves as the “switch” by processing Authentication Inquiries from Relying Parties to Credential Issuers and Authentication Responses from Credential Issuers to Relying Parties via the FiXs®-Certified Trust Broker.

Under the Federated Model of Trust XML messages and a system of servers are designed so that the Trust Brokers see *only* the data that they need. To ensure that is the case, the payload data of all XML transaction messages are encrypted, using the PKI certificates of the trusted end-point destination and the source domain servers. A trust broker serves as a single, centralized, and authoritative holder for the list of sites that are considered to be “trusted” FiXs® members.

Organizations are likely to join FiXs® for various reasons. Some organizations will join with the sole intent of using the FiXs®-Certified Infrastructure for *internal* purposes. For example, a company may have a large number of employees scattered in field offices around a large geographic area, and it may have a well-established internal networking infrastructure already in place. However, this particular company may not have a need to authenticate employees from other FiXs® member company sites. In this situation, this particular company would not be listed in the FiXs®-Certified Trust Broker, because they have no need to interact with other FiXs® Members.

A Member only becomes a “trusted” organization when its unique identifying number, known as its Organizational Code, appears in the FiXs®-Certified Trust Broker. If a Member uses the FiXs®-Certified Network strictly for internal purposes, its Organizational Code will not appear in the Broker server’s trust list, and all transactions for the member will be rejected by that Trust Broker. Member companies become “trusted” by joining FiXs® and expressing their desire to interact with other FiXs® “trusted” members. A Member Organization is de-activated by removing its Organization code from the FiXs®-Certified Trust Broker (FTB) registry.

Let’s now consider the second case, where FiXs® Member Organizations *are* interested in interacting with other FiXs® Member Organizations. This illustrates a scenario where employees have frequent interactions with other FiXs® member organizations, and there is a requirement for a high level of trust and assurance in the credentials and identities that are being presented. In this situation, these companies *would* be listed in the FTB.

Finally, the third scenario is a complete and full trust by both FiXs® and an entity, such as the Department of Defense (DoD), which has a separate ‘Trust Broker’. In this scenario companies require a high level of trust, assurance, confidence and interaction with other FiXs® Member Organizations as well as with the DoD. Conversely, since this is a two-way trust, this scenario also implies that members of the DoD (CAC holders) will be able to interact with these trusted FiXs® member companies in a highly trustworthy manner. In this case, these member company sites will be listed in *both* trust lists of the FTB *and* the DoD TGB. Again, it is important to note that DoD (and FiXs®, for that matter) still retains the ability to individually single out a particular member for exclusion from its trust list. It is the sole decision and discretion of DoD to allow or deny electronic interchange of FiXs®-Certified or DoD credentials with specific FiXs® member companies.

The agreements process that binds FiXs® Member Organizations to one another is depicted in Figure 1.1, while the transaction flow process is depicted in Figure 1.2.

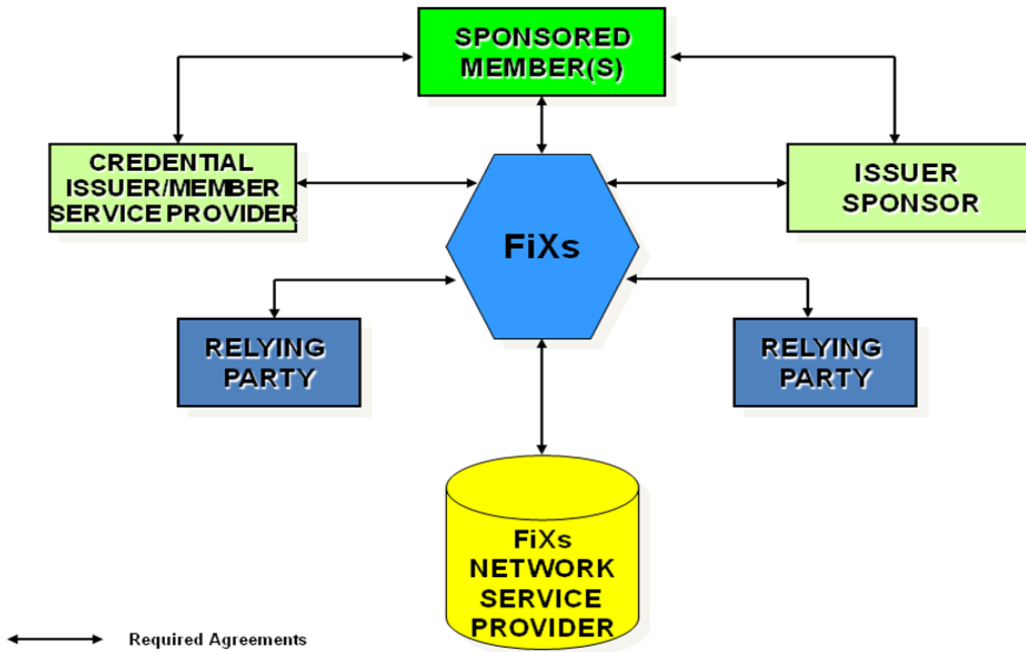


Figure 1.1 FiXs® Agreement Process

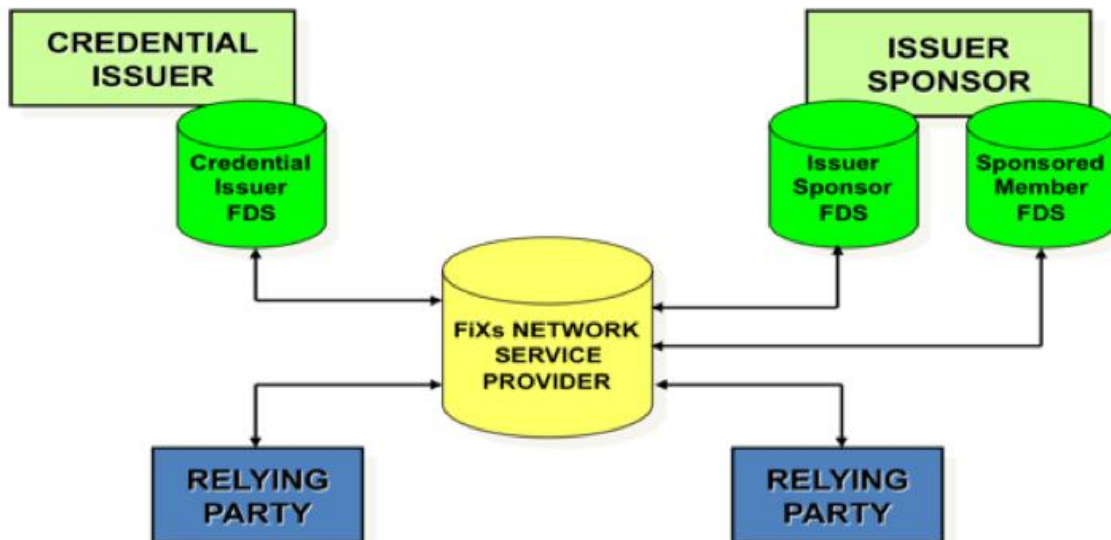


Figure 1.2 FiXs® Transaction Flow

1.1 Personnel Definitions and Requirements

This section defines and describes the requirements associated with personnel that will

perform FiXs® functions for FiXs®-Certified Credential Issuers and Relying Parties. Note: these are the functions that need to be discharged in the FiXs® program. However, it is up to the Member Organization as to how these positions will be filled within the Organization (for example, a Member may opt to appoint an existing employee to take on a FiXs® function as an additional role). These Rules must be posted so as to be easily accessible to all personnel whose responsibilities are addressed by these Rules. The only exceptions are that 1) the Domain Program Manager cannot serve as either a Facility Enroller or Facility Verifier, and 2) Facility Enrollers and Facility Verifiers must always be separate personnel. See Figure 1, Sample Organization Chart, for an illustration of how FiXs® functions/positions can be organized.

1.1.1 PROGRAM MANAGER

The **Program Manager** (PM) manages and administers the FiXs® program within a Member company or organizational domain. The PM has technical oversight of the program and is responsible for appointing the Domain Technical Administrator and Domain Functional Administrator for the Program.

1.1.1.1 Domain Technical Administrator

The PM must designate at least one **Technical Administrator** who has the authority to perform maintenance on the Enrollment System and/or the Authentication System for the Member Organization. The FiXs® Domain Administrator works with the Security Official of the Organization responsible for Physical Security to ensure a coordinated approach, particularly at the Authentication Station sites.

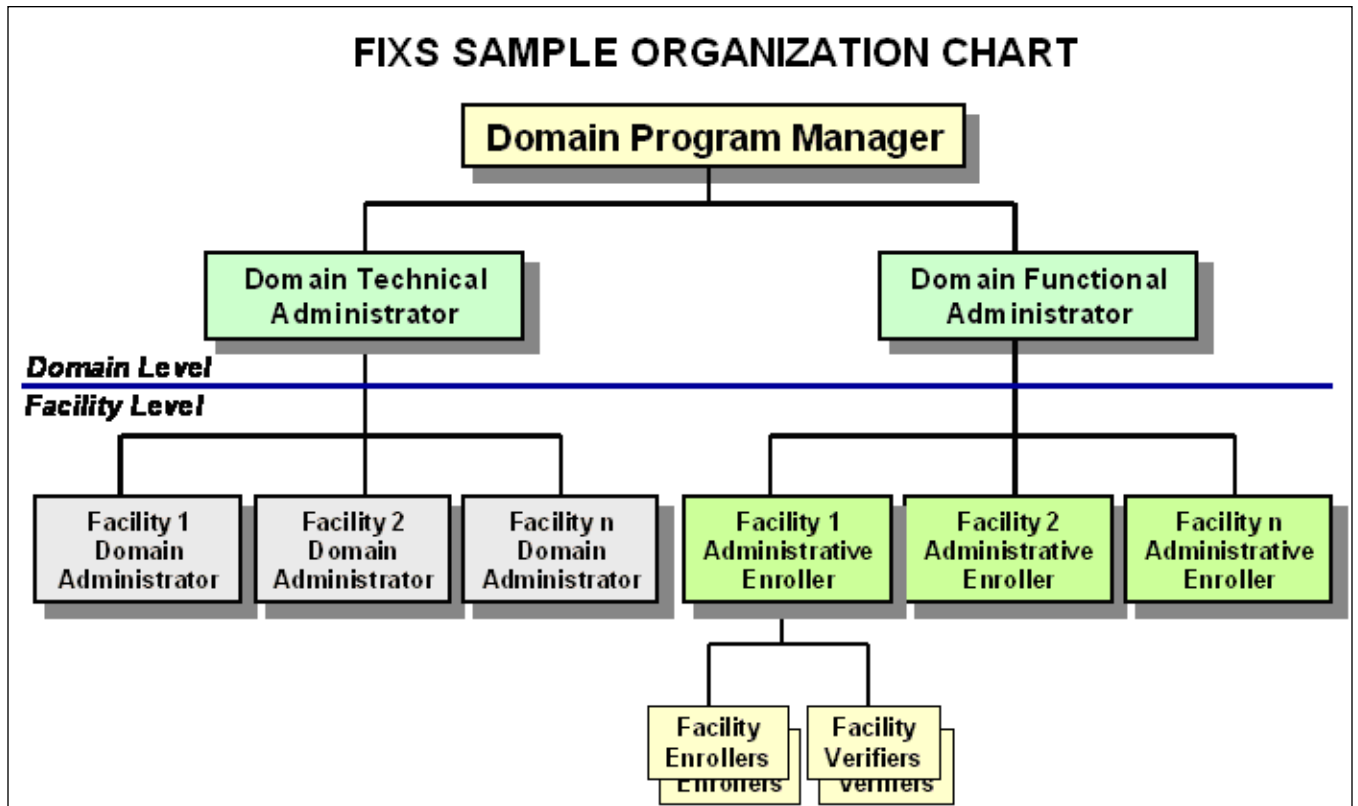


Figure 1.3: FiXs® Sample Organization Chart

1.1.1.2 Domain Functional Administrator

The PM must designate a Domain Functional Administrator if the organization is participating in FiXs® as a FiXs®-Certified Credential Issuer. The **Domain Functional Administrator** is responsible for the enrollment functions and management of the enrollment personnel within the Member organization. The Domain Functional Administrator is authorized to enroll and train Facility Administrative Enrollers. In addition, the Functional Administrator must designate individuals within the organization who have the authority to attest to the applicant's need for a FiXs®-Certified Credential.

1.1.2 ENROLLMENT PERSONNEL REQUIREMENTS

The FiXs®-Certified Credential Issuer is responsible for designating, training, and certifying Enrollment Personnel on the FiXs®-Certified System. Enrollment Personnel must be vetted in accordance with 2.1.2, Verify Applicant Identification (Vetting/Identity Proofing). Enrollment Personnel are under the management and supervision of the Domain Functional Administrator. FiXs® Member Organizations are responsible for maintaining an up-to-date list of certified Enrollment Personnel, periodically reviewing their lists, ensuring current training is provided to all personnel and maintaining up-to-date certifications for all Enrollment

Personnel. It is recommended that each FiXs® Member Organization review its list of Enrollment Personnel at least on a yearly basis. These personnel categories are described below.

1.1.2.1 Facility Administrative Enrollers

A FiXs®-Certified Credential Issuer must designate at least one Facility Administrator Enroller per Member facility. **Facility Administrative Enrollers** are responsible for enrolling and terminating new local Facility Enrollers using the Enrollment Operator Maintenance Web Application.

1.1.2.2 Facility Enrollers

Facility Enrollers are employees of a FiXs®-Certified Credential Issuer who operate the Enrollment Client and are responsible for capturing the required FiXs® ID data from FiXs® Applicants. Facility Enrollers may be designated by the Facility Administrative Enroller, and once appointed must be trained and certified by Facility Administrative Enrollers to perform the functions described below on the Enrollment Client.

1.1.2.2.1 Session Authentication

The Facility Enroller must authenticate himself/herself to the Enrollment Web Application at the beginning of each session using their FiXs®-Certified Credential/ identification number and a biometric.

1.1.2.2.2 Capture Participant Enrollment Data

In a single session, the Facility Enroller must completely and successfully capture and store an applicant's digitized photograph, fingerprint biometrics, and name identification and demographic data. All data must be correctly entered during the single session.

1.1.2.3 Facility Verifiers

A FiXs®-Certified Credential Issuer must designate at least one Facility Verifier per Member facility. A **Facility Verifier** is an employee within the organization who has the authority to perform the identity proofing tasks outlined in Section 2.1.2. In addition, the Facility Verifier is responsible for safeguarding background check documents and results in accordance with the policies and procedures outlined in the *National Industrial Security Program Operating Manual (NISPOM)*. *Facility Verifiers shall not dis-enroll participants.*

1.1.3 AUTHENTICATION PERSONNEL REQUIREMENTS

The Relying Party is responsible for designating, training, and certifying Authentication Personnel described in the sections that follow. The Relying Party is also responsible for maintaining an up-to-date list of certified Authentication Personnel, periodically reviewing their lists, ensuring current training is provided to all personnel and maintaining up-to-date certifications for all Authentication Personnel. It is recommended that each Relying Party review its list of Authentication Personnel at least on a yearly basis.

1.1.3.1 Facility Domain Administrators

A FiXs® Member organization must designate at least one Facility Domain Administrator per Member Facility. **Facility Domain Administrators** have the technical and operational responsibilities for individual FiXs®-Certified Facilities within a domain.

1.1.3.2 Authentication Station Operators

Authentication Station Operators operate the Authentication Client at Relying Party facilities. They must be trained and certified by the Facility Domain Administrator to perform Authentication Inquiries and routine administrative functions. These functions include:

1.1.3.2.1 Session Authentication/Log-On

Prior to processing FiXs® Participants, the Authentication Station Operator must log in and authenticate to the system using their FiXs®-Certified Credential/ identification number and biometric.

1.1.3.2.2 Authenticate Participant Credentials

The Authentication Station Operator must validate a FiXs® Participant's credentials in accordance with the instructions provided on the Authentication Station after correctly entering the initial ID data.

1.1.3.2.3 Explicitly Accept or Reject the Credentials

Based on local operating procedures, the FiXs®-Certified Authentication Station Operator decides whether to grant the Participant access. In accordance with Section 3.1.2.2, the Authentication Station Operator must explicitly record his or her decision about whether to grant the Participant access and the decision shall be recorded in the system Audit Log.

1.2 Systems Facility Definitions and Requirements

The Sections that follow describe the systems requirements at FiXs®-Certified Credential Issuer facilities and Relying Party facilities that must be in place prior to starting FiXs® operations. For a standard FiXs® Member configuration and list of standard components as well as the standards and formats associated with data and messages, please refer to the *FiXs® Technical Architecture and Specifications*.

1.2.1 FIXS®-CERTIFIED TRUST BROKER (FTB) INTERFACE REQUIREMENTS

FiXs®-Certified Credential Issuers and Relying Parties (including the DoD) acting in each of these roles must maintain an interface to the FTB system in compliance with the *FiXs® Technical Architecture and Specifications*.

1.2.2 SYSTEM ASSESSMENT

The organization shall issue credentials only through systems and providers whose reliability has been established by the agency and so documented and approved in writing (i.e., certified) in accordance with the *FiXs® Security*

Guidelines.

1.2.3 CREDENTIAL ISSUER OPERATIONAL REQUIREMENTS

The Credential Issuer system supports enrollment of the FiXs® Participant; maintenance of reliable connectivity for data access, storage of the participant data, log and audit trails; and, credential authentication. The hardware and software requirements association with these functions are described in the sections that follow. See Figure 2: Credential Issuing System.

1.2.3.1 Enrollment Site Certification Requirements

Enrollment Sites must be certified according to the procedures established by FiXs® Guidelines. The DoD. The Domain Technical Administrator is responsible for ensuring that these procedures are followed and that all relevant documentation and checklists are signed.

1.2.3.2 Enrollment System Requirements

This section describes the system requirements for enrolling new FiXs® members.

1.2.3.2.1 Enrollment Client (and Browser)

The **Enrollment Client** is a PC with a Web browser for network access to the FDS. It also contains a set of drivers for a web camera and a fingerprint reader.

1.2.3.2.2 Enrollment Web Server

The **Enrollment Web Server** is a standard web server (which resides on the FDS) that processes enrollments from the Authentication Client and stores the records in the Sponsor's FiXs®-Certified Data Repository.

1.2.3.2.3 Enrollment Web Application Software

The **Enrollment Web Application Software** enables entry of new FiXs® Participants into the Sponsor's FiXs®-Certified Data Repository.

1.2.3.2.4 Operator Maintenance Web Application

The **Operator Maintenance Web Application Software** enables new local site Enrollment Operators to be created and terminated on the Sponsor's FiXs®-Certified Data Repository. This operation can only be conducted by a designated Facility Domain Administrator at each local site and must be conducted in accordance with the *FiXs® Security Guidelines*.

1.2.3.2.5 Smart Card Writer (Optional)

The Enrollment System may include a Smart Card Writer. The **Smart Card Writer** can be used to write ID data to the card and record images for comparison to a scanned image on the Authentication Client. Captured data must conform to the

specifications found in the *FiXs® Technical Architecture and Specifications*.

1.2.3.2.6 Biometric Capturing Device

The Enrollment System must include a **Fingerprint Capturing Device** and software for capturing, reading, storing and comparing fingerprints or other devices as may be consistent with these operating rules for capturing biometrics. Captured data must conform to the specifications found in the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software are listed in the *FiXs® Technical Architecture and Specifications*.)

1.2.3.2.7 Digital Camera

The Enrollment System must include a **Digital Camera** capable of capturing digital photos and storing them in file formats as per the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software are listed in the *FiXs® Technical Architecture and Specifications*.)

1.2.3.2.8 Bar Code Reader/Printer

The Enrollment System must include a **Bar Code Reader/Printer** for storing and accepting current token barcodes or printing new barcodes for existing tokens as per the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software are listed in the *FiXs® Technical Architecture and Specifications*.)

1.2.3.2.9 Driver's License/Passport Reader

The Enrollment System must capture and validate information for enrollment in compliance with the *FiXs® Technical Architecture and Specifications*.

1.2.3.2.10 Scanning Device

The Enrollment System must include a device that is capable of scanning physical documents into electronic form so that the documents may be electronically stored.

1.2.3.2.11 Enrollment System Performance Requirements

The Enrollment System must be available for use 24 hours a day 7 days a week.

1.2.3.2.12 Trusted Computing

In order to achieve higher levels of trust, assurance and security, interested *FiXs®* members may (optionally) employ enrollment and/or authentication client machines with a hardware-based Trusted Platform Module (TPM) device. Such TPM devices are implemented in accordance with open specifications, as defined

by the Trusted Computing Group™.

For peripheral devices, such as trusted smart card readers/writers, fingerprint readers, keyboards, and secure PIN entry devices, there are even more secure, high assurance, trusted path devices that may be implemented, which offer an additional layer of trust, especially in sensitive or classified environments. Such devices are offered by a number of vendors and manufacturers, some of which are existing FiXs® member companies.

1.2.4 FiXs® DOMAIN SYSTEM REQUIREMENTS

This section describes system requirements for FiXs®-Certified Domain Server (FDS) and authentication system.

1.2.4.1 FiXs®-Certified Domain Server

The *FiXs®-Certified Domain Server (FDS)* platform contains the enrollment and authentication server software and it interfaces to the FiXs®-Certified Data Repository, the FTB, the Enrollment Client, and the Authentication Client.

1.2.4.2 FiXs®-Certified Data Repository

The *FiXs®-Certified Data Repository* stores the identification credentials and audit files associated with the FiXs® Participants of the Member Organization and interfaces to the Member's FDS. Data and formats are described in the *FiXs® Technical Architecture and Specifications*.

1.2.4.3 Hardware Security Modules

A *Hardware Security Module (HSM)* must be attached to the FDS. The HSM device is used to encrypt messages that are being sent to the FTB and to verify signatures of messages received from the FTB. The HSM contains: a) the private key for the new FDS; and, b) the public key of the Trust Server. These HSMs are loaded by the FTB and delivered securely to each FDS environment.

1.2.4.4 System Performance Requirements Authentication Processing

The Verification System must be operational 24 hours a day, 7 days a week, with an up-time availability of 99.99%. The FDS must process an Authentication Inquiry and return an Authentication Response in no more than 5 seconds.

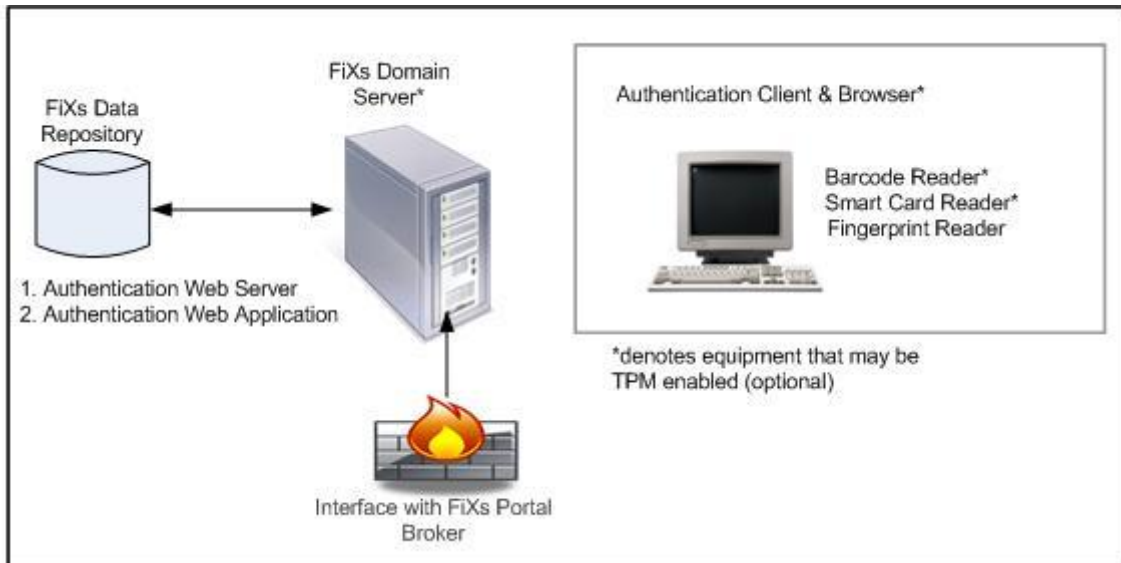


Figure 2: FiXs®-Certified Credential Issuing System

1.2.5 RELYING PARTY OPERATIONAL REQUIREMENTS

The Relying Party system serves to originate Authentication Inquiries for FiXs® Participants visiting the Relying Party's sites. The hardware and software requirements associated with this function are described in the sections that follow. See Figure 3: Relying Party System Requirements.

1.2.5.1 Relying Party Authentication Site Certification Requirements

Authentication Sites must be certified according to the procedures established by the FiXs® Implementation Guidelines. The Facility Domain Administrator is responsible for ensuring that these procedures are followed and that all relevant documentation and checklists are signed certified and remitted to DoD. (For the POC, certification is not required.)

1.2.5.2 Relying Party Authentication System Requirements

This section describes the system requirements for Relying Parties.

1.2.5.2.1 Authentication Client

The **Authentication Client** is a PC with a standard Web browser for access to the FDS. Each client will contain an embedded site ID file and a set of drivers for a bar code reader, a smart card reader, and a fingerprint reader.

1.2.5.2.2 Authentication Web Server

The **Authentication Web Server** is a standard web server (which resides on the FDS) that processes Authentication Inquiries and Responses between the Authentication Client and the FTB and the Relying Party's FDS

1.2.5.2.3 Authentication Web Server Application

The **Authentication Web Server Application** receives the ID credential information from the Client and returns identity information and fingerprint data for matching on the Client.

1.2.5.2.4 Fingerprint Reader for Authentication

The Authentication system must include a **Fingerprint Reader** in accordance with the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software and drivers are listed in the *FiXs® Technical Architecture and Specifications*.)

1.2.5.2.5 Smart Card Reader for Authentication

The Authentication system must include a **Smart Card Reader** in accordance with the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software and drivers are listed in the *FiXs® Technical Architecture and Specifications*.)

In order to support full interoperability with existing DoD CAC cards, FiXs®-Certified Smart Card Readers and Writers should be compliant with current DoD CAC card standards; as of this writing, the current standard is Government Smart Card (GSC) Interoperability Specification (IS) version 2.0.

1.2.5.2.6 Bar Code Reader

The Authentication system may include a **Bar Code Reader** in accordance with the *FiXs® Technical Architecture and Specifications*. (Devices compliant with the software and drivers are listed in the *FiXs® Technical Architecture and Specifications*.)

1.2.5.2.7 Pin Pad

The Authentication System must include a device that enables a Participant to enter his or her Personal Identification Number (PIN) as part of the authentication process for a CAC or similar card.

1.2.5.2.8 Driver's License/Passport Reader

The Authentication System must include a device that is capable of validating the authenticity of a Participant's driver's license or passport.

1.2.5.2.9 Authentication System Performance Requirements

The Authentication System must be operational 24 hours a day, 7 days a week, with an up-time availability of 99%.

1.2.5.2.10 Trusted Computing

In order to achieve higher levels of trust, assurance and security, interested FiXs® members may (optionally) employ enrollment and/or authentication client machines with a hardware-based TPM device. Such TPM devices are implemented in accordance with open specifications, as defined by the Trusted Computing

Group™.

For peripheral devices, such as trusted smart card readers/writers, fingerprint readers, keyboards, and secure PIN entry devices, there are even more secure, high assurance, trusted path devices that may be implemented, which offer an additional layer of trust, especially in sensitive or classified environments. Such devices are offered by a number of vendors and manufacturers, some of which are existing FiXs® member companies.

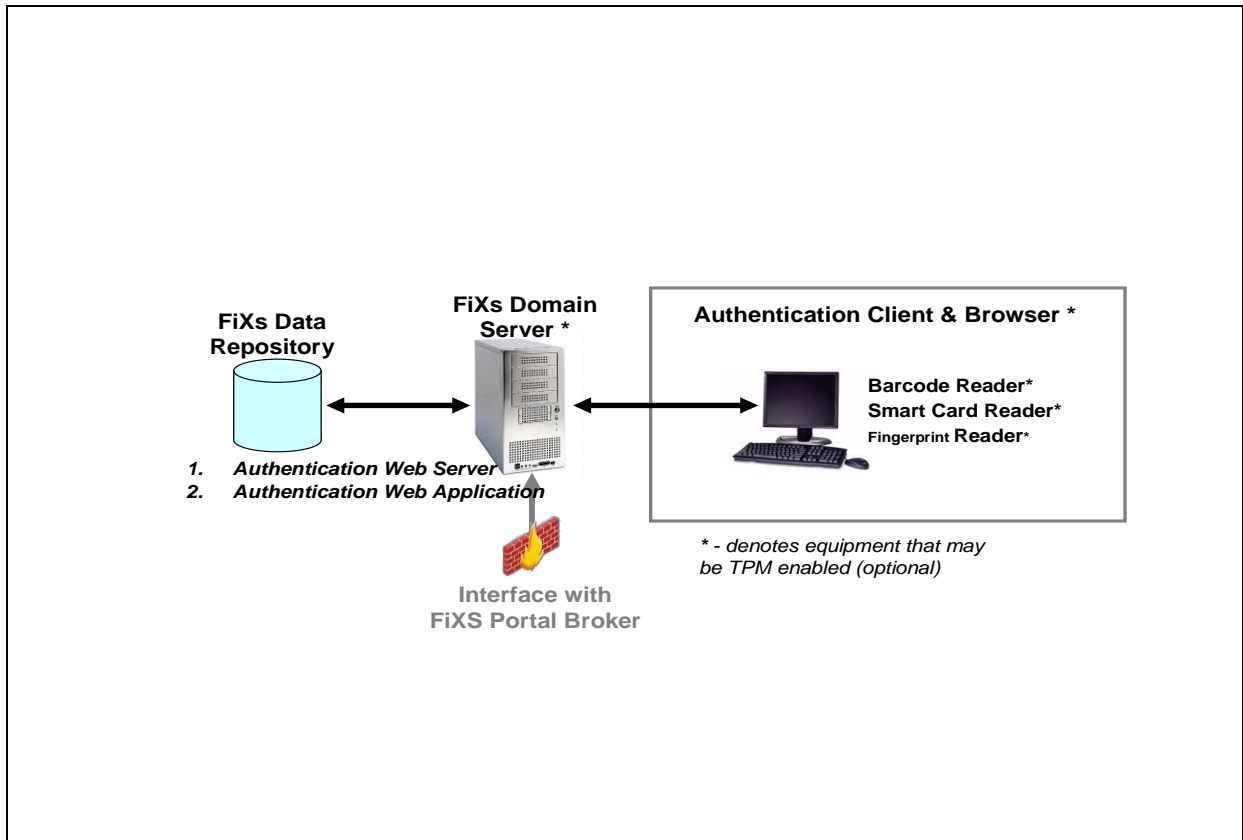


Figure 3: Relying Party System Requirements

1.2.6 MEMBER SERVICE PROVIDER REQUIREMENTS

A FiXs®-Certified Member Service Provider (MSP) is a FiXs® Founding Member that has agreed to provide equipment procurement and management services to FiXs®-Certified Credential Issuers and/or FiXs® Relying Parties. In its role as MSP, designated Founding Members will supply domain servers, enrollment equipment and authentication equipment (including required peripherals) to FiXs®-Certified Credential Issuers and Relying Parties that request these services. MSP services include equipment procurement, delivery and deployment; inventory management; equipment certification; equipment configuration; and documentation. Optionally, MSPs may also provide local application development and integration as well as consultative services to FiXs®-Certified Credential

Issuers and Relying Parties.

1.2.7 RECORDS/FILES MAINTENANCE REQUIREMENTS

This section describes FiXs® requirements for records and file maintenance.

1.2.7.1 FiXs® File Updates

FiXs®-Certified Credential Issuers are responsible for maintaining updated FiXs® files including Enrollment Files, Control Files, Administrative Files, Revocation and Audit Files. These files must be updated and maintained by the FiXs® Member Organization in a timely manner.

In some cases, such as the Control Files and certain Administrative Files, updates may be electronically communicated by the FTB to the FiXs®-Certified Credential Issuer's FDS server/s. It is the responsibility of the FiXs®-Certified Credential Issuer to ensure proper firewall connectivity, in order to receive, accept, process, and internally disseminate (if necessary) these updates.

1.2.7.2 Notification of Revocation of FiXs® Status/Dis-Enrollment

A FiXs®-Certified Credential Issuer must maintain a near-real-time list of participants that it has enrolled into the FiXs®-Certified System. When an employee leaves a Sponsor or when a Sponsor's Program Manager revokes a Participant's authorization for FiXs® participation, the Sponsor must notify the FiXs®-Certified Credential Issuer in sufficient time to ensure that the participant is dis-enrolled and the FDS updated within three (3) hours.

For changes in employee status, such as change of name, termination, ineligibility, or other changes as noted in The Privacy Act of 1974, the FiXs®-Certified Credential Issuer must complete the updates (including any revocation of credentials, if necessary) within three (3) hours.

Dis-enrolling a FiXs® participant means that his or her identifier is no longer valid, and that all subsequent authentication attempts should result in a failure. The Relying Party shall be responsible for the actions of any participant who is granted access after the participant was successfully dis-enrolled in accordance with these Rules and the Relying Party received the appropriate message in response to an authentication request.

While the reason for any dis-enrollment may be provided to the FiXs® Domain Administrator, such reason shall not be transmitted to the Authentication Station. All dis-enrollments shall be accomplished at the participant's FDS and shall be performed by the Facility Administrative Enroller or a Facility Enroller. A Facility Verifier is not allowed to perform a dis-enrollment operation.

1.2.7.3 Audit Requirements

This section describes the auditing requirements for a FDS.

1.2.7.3.1 System Audits

Auditing of the FDS must be at a sufficient level to recreate any transaction successfully or unsuccessfully performed within the FiXs®-Certified System. The software provided by the FiXs® program will record the data to a level that is sufficient to satisfy these requirements.

1.3 Logical Authentication

This Section defines the requirements for starting FiXs® logical authentication operations. In the case of the requirements necessary to effect the proper life cycle management of the digital certificate protected on the FiXs®-Certified Credential, Certificate Policies (CPs), referenced herein, and the associated Certification Practice Statements (CPSs) shall be relied upon to describe the establishment and operation of the Public Key Infrastructure (PKI) and the policies and procedures relating to holding or using certificates issued onto a FiXs®-Certified Credential. Each CP is applicable to all individuals that will be interacting with the Federation; DoD activities; other government agencies; and associated individuals and contractors. The purpose of each CPS is to inform individuals relying (Relying Parties) on certificates issued and credential holders (holders of certificates) of their duties and obligations. It is also to advise those parties of the policies, practices and procedures that are used for issuing, validating and revoking these certificates.

FiXs® recognizes the need to interoperate within various domains and has a requirement to establish trust relationships with Certification Authorities (CAs) that achieve a satisfactory assurance level. The CPs referenced herein shall be enforced in full, in accordance with the policies asserted by each:

- Department of Defense PKI Certificate Policy (DoD PKI CP)
- United States (US) Government Certificate Policy (CP) for External Certification Authorities (ECA) [ECA CP]
- Federal PKI Common Policy Framework [FPCPF]
- Federal Bridge Certificate Authority [FBCA]

1.4 Level 1 (FiXs® equivalent “Low”)

The digital certificates at this level shall assert basic assurance as stipulated by the FBCA, at a minimum.

1.5 Level 2 (FiXs® equivalent “Medium”)

The digital certificates at this level shall assert medium assurance as stipulated by the DoD PKI CP, the ECA CP and the FBCA; as well as, certificates that assert the common policy under the FPCPF.

1.6 Levels 3 (FiXs® equivalent “Medium High”)

The digital certificates at this level shall assert:

- Medium hardware assurance as stipulated by the DoD PKI CP, the ECA CP
- Federal Common Hardware as stipulated by the FPCPF; or,

- High or medium hardware assurance as stipulated in the FBCA CP that are also approved for DoD use, refer to Section 1.10.3 below.

1.7 Level 4, (FiXs® equivalent “High”)

The digital certificates at this level shall assert:

- Medium hardware assurance as stipulated by the DoD PKI CP and the ECA CP;
- Federal Common Hardware as stipulated by the FPCPF; or,
- High or medium hardware assurance as stipulated in the FBCA CP that are also approved for DoD use, refer to Section 1.10.3 below.

1.8 Framework

At all levels, FiXs® members shall adhere to the policy framework governing the public key infrastructure component defined by the policy referenced for each level or higher. These policies require the use of FIPS 140 validated cryptographic modules for all cryptographic operations and the protection of trusted public keys. The policy for users with hardware cryptographic modules mandates a Level 2/medium assurance validation, which is achieved by FiXs® via the PIV card.

The CPs that comprise this framework are consistent with the Internet Engineering Task Force (IETF) Public Key Infrastructure X.509 (IETF PKIX) RFC 2527, Certificate Policy and Certification Practice Statement Framework. These policies define a PKI consisting of products and services that provide and manage X.509 certificates for public key cryptography that FiXs® shall trust. The certificates issued under these policies identify the individual named in the certificate and bind that person to a particular public/ private key pair and the FiXs® credential. FiXs® will trust these PKIs for the following security management services:

- Key generation/ storage
- Certificate generation, update, renewal, rekey, and distribution
- Certificate revocation list (CRL) generation and distribution
- Directory management of certificate related items
- Certificate token initialization/programming/management
- System management functions (e.g., security audit, configuration management, archive.)

1.9 Certificate Validation

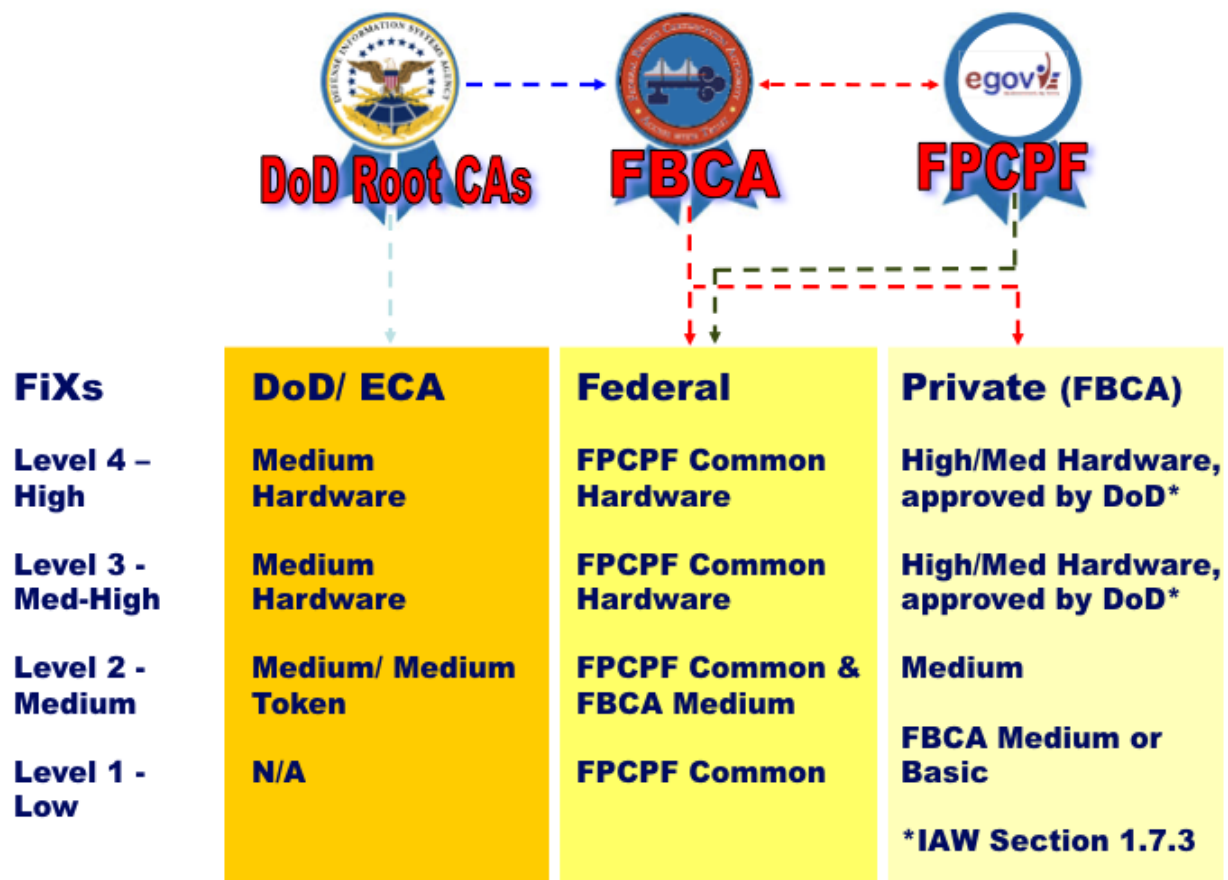
The FiXs®-Certified Network includes a cost effective, quick deployment offering that provides full relying party integration and compliance with the smart card credential deployed under DoD PKI, FBCA, and HSPD-12. The FiXs®-Certified Validation service provides monitoring and validation for all FBCA-approved, DoD internal and external ECA, ACES and others as they come online.

1.10 FiXs® Logical Trust Model

The FiXs® logical trust model supports hierarchical PKI, mesh PKI, and single certification authority implementations. As such, FiXs® adheres to the constraints established for the secure distribution of self-signed certificates for use as trust anchors, defined in each CP. Additionally, no FiXs®-Certified Credential holder shall hold more than one active FiXs®-Certified Credential.

The current FiXs® logical trust model is depicted in the following figure.

Practice note: The combination of the Certificate Policy (applied) with the FiXs® foundational documents and the FiXs® Operating Rules provide individual vetting and the credential uniqueness necessary to provide the appropriate levels of assurance, as defined above, for both physical and logical authentication.



Three primary programs, the DoD PKI, the Federal Bridge Certificate Authority, and the Federal PKI Common Policy Framework define the Federal PKI.

1.10.1 DOD PKI

Two Certificate Policies exist under the DoD PKI Policy Management Authority (PMA): the DoD PKI CP and the ECA CP.

These policies define various levels of assurance including Medium Hardware and Medium. DoD and ECA compliant certificates asserting the following Medium Hardware Assurance object identifiers (OIDs) shall be recognized by the FiXs® network as asserting FiXs® level 3 or 4:

id-US-dod-

mediumhardware::=

{2.16.840.1.101.2.1.11.9}

id-eca-medium-hardware ::= {2.16.840.1.101.3.2.1.12.2}

DoD and ECA compliant certificates asserting the following Medium assurance OIDs shall be recognized by the FiXs® network as asserting FiXs® level 2:

id-US-dod-medium ::= {2.16.840.1.101.2.1.11.5}

id-eca-medium ::= {2.16.840.1.101.3.2.1.12.1}

id-eca-mediumtoken ::= {2.16.840.1.101.3.2.1.12.3}¹

1.10.2 FEDERAL PKI COMMON POLICY FRAMEWORK (FPCPF)

The FPCPF defines two levels of assurance Common Hardware and Common. FPCPF compliant certificates asserting the following Common Hardware assurance OIDs shall be recognized by the FiXs® network as asserting FiXs® level 3 or 4:

id-fpki-common-hardware ::= {2 16 840 1 101 3 2 1 3 7}

id-fpki-common-authentication ::= {2 16 840 1 101 3 2 1 3 13}

id-fpki-common-High ::= {2 16 840 1 101 3 2 1 3 16}

FPCPF compliant certificates asserting the following Common assurance level OIDs shall be recognized by the FiXs® network as asserting FiXs® level 2:

id-fpki-common-policy ::= {2 16 840 1 101 3 2 1 3 6}

id-fpki-common-devices ::= {2 16 840 1 101 3 2 1 3 8}

id-fpki-common-cardAuth ::= {2 16 840 1 101 3 2 1 3 17}

1.10.3 FEDERAL BRIDGE CERTIFICATION AUTHORITY (FBCA)

FBCA-compliant CAs do not assert a FBCA OID the trust of these certificates must be based on the issuing CAs cross certificate with the Federal Bridge.

In accordance with the DoD CIO Memorandum, dated July 22, 2008, "Approval of External Public Key Infrastructures" and DoD Instruction 8520.2, upon successful completion of interoperability testing [defined in Attachment 1 of that memorandum], those policy oids and root CAs approved for use within DoD information systems, shall be incorporated into this document, by reference. NOTE: the DoD document to be referenced is TBD.

FBCA-compliant certificates cross-certified with the federal bridge at High or Medium Hardware assurance and approved for DoD use, shall be recognized by the FiXs® network as asserting FiXs® level 4 or 3. FBCA compliant certificates cross-certified with the federal bridge at Medium assurance shall be recognized by

¹ Medium Token Assurance is intended for applications handling sensitive medium value information. These certificates are vetted in accordance with the requirements of FBCA Medium Hardware Assurance.

the FiXs® network as asserting FiXs® level 2. FBCA compliant certificates cross-certified with the federal bridge at Basic assurance shall be recognized by the FiXs® network as asserting FiXs® level 1.

1.10.3.1 Access Certificate for Electronic Services (ACES)

The ACES Program makes available the services that federal agencies need to implement PKI and digital signature services required by the Paperwork Reduction Action of 1995, the Government Paperwork Elimination Act of 1998 (GPEA), the E-SIGN Act, and the E-Government Act of 2002. Cross-certified with the Federal Bridge at the medium assurance level, the ACES CP provides an outward looking PKI from the Government and is intended to be trusted across Federal agencies that provide electronic services to the Public. ACES compliant certificates asserting the following Medium assurance level OIDs shall be recognized by the FiXs®-Certified Network as asserting FiXs® medium assurance or “level 2”:

- ACES Authorized CA Certificates: {2 16 840 1 101 3 2 1 1 1}
- Business Representative Digital Signature Certificates: {2 16 840 1 101 3 2 1 1 3}
- Business Representative Encryption Certificates: {2 16 840 1 101 3 2 1 1 3}
- Federal Employee Digital Signature Certificates: {2 16 840 1 101 3 2 1 1 6}
- Federal Employee Encryption Certificates: {2 16 840 1 101 3 2 1 1 6}
- State and Local Employee Digital Signature Certificates: {2 16 840 1 101 3 2 1 1 6}
- State and Local Employee Encryption Certificates: {2 16 840 1 101 3 2 1 1 6}

ACES-compliant certificates asserting the following medium hardware assurance level OIDs shall be recognized by the FiXs® Network as asserting FiXs® “medium high” (level 3) or “high” (level 4):

- Digital Signature Certificates on hardware: {2 16 840 1 101 3 2 1 1 7}
- Encryption Certificates on hardware: {2 16 840 1 101 3 2 1 1 7}

1.11 Certificate Profile

All certificates issue to a FiXs®-Certified Credential must be constructed in accordance with the Certificate Policy that is asserted in the certificate. Certificates may also include the following FiXs® attributes in the CN or as a dnQualifier:

1.11.1 FIXS® PERSON DESIGNATOR IDENTIFIER (PDI)

Certificates issued on a FiXs®-Certified, that are used to identify the credential as such, will include the FiXs® PDI that will consist of a *unique identification string* [unique to the credential holder]. The unique identifier shall be same for all certificates issued to a single credential holder and is unique to all credentials

across the FiXs®-Certified Network.

1.11.2 FIXS® ASSURANCE LEVEL

Certificates issued on a FiXs®-Certified that are used to identify the credential as such will include an identifier preceding the *unique identification string* that will designate the FiXs® assurance level [or the level of identity vetting that was employed] as follows:

- FiXs4, for FiXs®-Certified Credentials asserting FiXs® equivalent “High”
- FiXs3, for FiXs®-Certified Credentials FiXs® equivalent “Medium High”
- FiXs2, for FiXs®-Certified Credentials FiXs® equivalent “Medium”
- FiXs1, for FiXs®-Certified Credentials FiXs® equivalent “Low”

The following sample DNs are provided:

```
cn=Smith.John.J.FiXs®41234567890, ou=<subscribing organization>,
ou=<CAprovider>, o=U.S. Government, c=US
```

```
dnQualifier=FiXs®41234567890, cn=John J. Smith, ou=<structural container>,
ou=<subscribing organization>, o=U.S. Government, c=US
```

2 FIXS®-CERTIFIED CREDENTIAL ISSUANCE

This Section describes the responsibilities for FiXs®-Certified Credentials Credential Issuers in initiating and maintaining an **operational** FiXs®-Certified System. FiXs®-Certified Credentials Issuers issue FiXs®-Certified Credentials to qualified users for themselves and/or other Sponsors, whether a Primary Trusted Organization or a Subscribing Party, and processes and responds to *Authentication Inquiries*. An Issuer Sponsor is a FiXs®-Certified Credentials Issuer that issues credentials to its own employees or sponsors other FiXs®-Certified Credentials Issuers and performs some or all of the FiXs®-Certified Credentials Issuer duties defined herein that the sponsored FiXs®-Certified Credentials Issuer chooses not to perform. In this case, the Issuer Sponsor assumes some or all of the following functions on behalf of the sponsored Issuer: enrollment and issuance; participant records management; FDS management; standards and specifications compliance; transaction processing; application integration; and coordination of human resources and security departments.

FiXs®-Certified Credentials Issuers shall have primary responsibility and liability for performance of the obligations of a FiXs®-Certified Credentials Issuer under these Rules, regardless of whether the obligations are performed by the FiXs®-Certified Credentials Issuer, Issuer Sponsor or a third party on behalf of the FiXs®-Certified Credentials Issuer. No delegation of duties by a FiXs®-Certified Credentials Issuer to an Issuer Sponsor or any other third party shall relieve such FiXs®-Certified Credentials Issuer of its liability for performance of such duties hereunder. The legal agreements process that binds FiXs® member organizations are depicted in Figure 1.1.

There is a distinction to be made between credentials and a badge. **Credentials** refer to the representations of an individual's identity -- such as biometric images, photographs, and unique identifiers (social security numbers or employee IDs) – that are approved by an organization to authenticate an individual for access. A **badge** or **token** can either 1) “hold” these credentials (such as a photo on the face of a badge or a biometric on a bar code) or 2) hold the “keys” or “pointers” to the credentials that are accessible in a record on a remote system (such as a number stored on a bar code that identifies the system and the record); the credentials can be downloaded to a local client.

Note that as the issuer of the CAC card, DoD is exempt from Section 2.1, *Credential Issuance* because CAC holders are automatically enrolled to the DCCIS system without any alterations to the CAC credential and identifier.

2.1 Credential Issuance

The **FiXs®-Certified Credential Issuance** process consists of four steps: 1) validate applicant's need for FiXs®-Certified Credentials; 2) verify applicant identification; 3) enroll applicant into FiXs®-Certified System; and 4) issue or record Participant's valid FiXs® identifier. These steps are described in the section that follows.

2.1.1 VALIDATE APPLICANT'S NEED FOR FiXs® CREDENTIALS

As a requisite for starting the FiXs®-Certified Credentials issuance process, the Facility Verifier must receive a request in writing from the sponsoring FiXs® Program Manager, or his/her designated agent on behalf of the applicant.

2.1.2 VERIFY APPLICANT IDENTIFICATION (VETTING/IDENTITY PROOFING)

Verifying the applicant's identification is the process by which the FiXs®-Certified

Credentials Issuer validates the identity information provided by the Applicant. This process must be completed for all FiXs® Applicants regardless of whether the same or similar documentation has been verified as part of the organizations' regular employment process. This process can also be referred to as "Vetting" or "Identity Proofing."

2.1.3 VERIFICATION PROCESS REQUIREMENTS

The identity proofing, registration and issuance process shall adhere to the principle of separation of duties to ensure that no single individual has the capability to issue a credential without the cooperation of another authorized person.

2.1.3.1 Verify Employee's Identification

The Facility Verifier must verify the applicant's identification per the procedures prescribed below.

2.1.3.1.1 FiXs® Member Participant Applicants

Upon validation of an Applicant's need for FiXs®-Certified Credentials, the FiXs®-Certified Credentials Issuer is required to fulfill application requirements specified in FiXs® Guidelines:

2.1.3.1.1.1 AUTHENTICATE DOCUMENTS

The Facility Verifier must validate a Social Security Number or an Alien Registration number in addition to other presented documents and electronically verify the authenticity of the ID documents. If the Social Security Number or the Alien Registration number and one other form of identification cannot be validated, the participant cannot be enrolled in the FiXs®-Certified System.

2.1.3.1.1.2 COLLECT AND STORE APPLICANT BIOMETRIC(S)

The Facility Verifier will capture the Applicant's digitized photo, collect, and store fingerprints to bind the identification documents to the Applicant's biometrics for the first time. The Facility Verifier must collect the applicant's fingerprints using the 10-fingerprint system at a Fingerprint Capture Station that complies with *FiXs® Technical Architecture and Specifications* for fingerprint capture and storage and store the record.

2.1.3.1.1.3 ELECTRONICALLY STORE APPLICANT'S SOURCE DOCUMENTS

Documents that are verified to complete the I-9 Form must be electronically stored either by: 1) scanning the documents or 2) retaining an electronic version of the document that is otherwise available.

2.1.3.1.1.4 CERTIFY AUTHENTICATION PROCESS

Either on the I-9 Form or as an attachment, the Facility Verifier

will include and electronically sign the following statement: "Addendum to Certification, Section 2: I also attest, under the penalty of perjury, that I have examined the photo identification document presented by the employee and that to the best of my ability I conclude that the photographic image and the employee are one in the same individual."

2.1.3.1.1.5 COMPLETE NATIONAL AGENCY CHECK

The Facility Verifier must have a background check conducted on the Applicant, which, at a minimum, must include:

For Level 2: local, county, state, and federal criminal history checks; as well as, sex offender registry and terrorist watch list checks.

For Level 3: commercial National Criminal History Check process through a certified FBI channel partner.

For Level 4: National Agency Check (NAC) in accordance with DoD Directive 5200.2-R Personnel Security Program. An active security clearance or NAC that has been conducted within four years will satisfy the requirements contained in this subparagraph, and a new NAC does not have to be conducted.

The process shall ensure completion and successful adjudication of a National Agency Check (NAC) and National Agency Check with Written Inquiries (NACI). A completed NAC is sufficient for interim credential issuance; however, the NACI must still be completed within six (6) months of the application date. The credential shall be revoked if the results of the investigation so justify. If the NACI is not completed within six (6) months, the NAC will be deemed revoked. A new NAC must be completed if the NAC will expire within six (6) months of the application date.

Note that this requirement may also be satisfied by locating and referencing a completed and successfully adjudicated NACI.

No person that has not been adjudicated via a federal process shall be granted a FiXs certified credential if a background check reveals any of the following:

- * Has had a felony conviction;
- * Is or is suspected of being a terrorist; or
- * Is on the Sex Offenders List.

2.1.4 ENROLL APPLICANT INTO FiXs®-Certified SYSTEM

Once the Applicant's identity has been verified, he or she can be enrolled into the FiXs®-Certified Credentials Issuer's FDS. This process makes the Applicant's (now a FiXs® Participant) record of credentials available for retrieval by a Relying Party for authentication. The Enrollment process is described in the sections that follow.

2.1.4.1 Verify Applicant's Reference Biometric

The Facility Enroller instructs the Applicant to scan his biometric and initiates a biometric verification check. If there is a positive match, the Facility Enroller proceeds to the next step. (If the Identity Proofing – Section 2.1.2 – and Enrollment – Section 2.1.4 – are performed at the same time, this step can be omitted.)

2.1.4.2 Enroll Applicant into FiXs®-Certified FDS

Enrolling an applicant refers to the creation of a valid FiXs® Participant record in the FiXs®-Certified Data Repository. All FiXs® Participants must be enrolled (have a valid record) in the Issuer's FiXs® Data Repository. To enroll a new employee as a FiXs® Participant, the Facility Enroller must collect the required enrollment ID data as prescribed in Section 2.1.3.

2.1.4.2.1 Create a New Participant Record

The Facility Enroller creates a new record for the Applicant in the FiXs®-Certified Data Repository and performs the following steps:

2.1.4.2.1.1 ENTER REQUIRED APPLICANT DATA

The Enrollment Operator enters the Applicant's first and last names, ORGANIZATION name; and, Employee ID number into the record. (See *FiXs® Technical Architecture and Specifications* for details.)

2.1.4.2.1.2 UPLOAD FiXs® ENROLLMENT ID DATA INTO APPLICANT'S RECORD

The Facility Enroller uploads the Applicant's Photograph File and Biometric File of the Applicant's fingerprints taken during the vetting/identity proofing process to the Applicant's record.

2.1.5 ISSUE PARTICIPANT VALID FiXs® IDENTIFIER

The final step in the FiXs®-Certified Credentials Issuance process is to issue the Participant a valid FiXs® Identifier that can be used to access the Participant's credentials. Valid identifiers include:

2.1.5.1 DoD EDI PIN for CAC Cardholders

The DoD EDI PIN (as the DoD's Employee ID) associated with the CAC card with the selected organization (e.g., Army, Navy, etc.) is a valid FiXs® identifier.

2.1.5.2 Organization Name and Employee ID for non-CAC Cardholders

The combination of the Participant's Member/Organization Code and ID and organization-assigned Employee ID number is a valid FiXs® identifier.

2.1.5.3 Identifier Access Method

The Authentication Station Operator must be able to access the valid FiXs® identifier to initiate the authentication process. The Participant can provide the Authentication Station Operator access to the identifier in one of four ways:

2.1.5.3.1 No Token/Verbal Communication of Organization and Employee ID

The Participant can verbally provide the Authentication Station Operator with the Member Organization name (from which the ID is obtained) and Employee ID number.

2.1.5.3.2 Presentation of Company/Organization Badge

The Participant can present the Authentication Station Operator with a Company or Organization Badge from which the valid FiXs® identifier can be read visually or by machine (e.g., all valid Barcode 39 codes can be scanned and sent in their entirety to a FiXs® member organization as a credential string). (See *FiXs® Technical Architecture and Specifications*.)

2.1.5.3.3 Presentation of FiXs® Badge

The Participant can present the Authentication Station Operator with a FiXs®-Certified Credentials (organizations can opt to issue separate FiXs®-Certified Credentials rather than use the existing employee badge) from which the valid FiXs® identifier can be read visually read or by machine.

2.1.5.3.4 DoD EDI PIN for CAC Cardholders

The DoD EDI PIN (as the DoD's Employee ID) associated with the CAC card with the selected organization (e.g., Army, Navy, etc.) is a valid FiXs® identifier.

2.1.5.4 Expiration Date

All FiXs®-Certified Credentials must have an expiration date. A revocation process must exist such that an expired or invalidated credential is swiftly revoked.

2.1.6 APPEALS PROCESS

FiXs®-Certified Credentials Issuers shall maintain an appeals process for employees who are denied a credential or whose credentials are revoked.

2.2 Transaction Request Processing

The FiXs®-Certified Credentials Issuer is required to process Authentication Inquiries from its Authentication Clients and from Relying Parties. An **Authentication Inquiry** is an

electronic transaction originating either from 1) the Issuer's Authentication Client or 2) a Relying Party (through the FTB), which requests the authentication of a credential and credential holder. The Credential Issuer must return an Authentication Response to the originator of the Authentication Inquiry. An **Authentication Response** is a reply from the FiXs®-Certified Credentials Issuer to an Authentication Inquiry that sends a denial or transmits credential information (photo and fingerprints) to the Relying Party.

2.2.1 PROCESSING AUTHENTICATION INQUIRIES

When a FiXs®-Certified Credentials Issuer receives an Authentication Inquiry from an Authentication Client (either its own or from that of a Relying Party), the FiXs®-Certified Credentials Issuer's FDS checks that the credential information matches a valid record in its FiXs®-Certified Data Repository. If it does, an Authentication Response is prepared and sent back as described below.

2.2.2 INITIATING AUTHENTICATION RESPONSES

The FiXs®-Certified Credentials Issuer's FDS retrieves the applicable files, as specified in the appropriate FiXs® Guidelines, creates a valid XML Authentication Response message and transmits it back to the Authentication Client.

2.3 CERTIFICATE ISSUANCE

In addition to the responsibilities defined above, it is the responsibility of the FiXs®-Certified Credential Issuer to ensure that the certificates issued to the FiXs®-Certified Credentials are in compliance with the CPS associated with the CA or Certificate Manufacturing Authority (CMA) being employed, that applies to the X.509 version 3 certificates with assurance levels as defined in the appropriate CP. The processes and procedures in each CPS are applicable to individuals who manage the certificates, who directly use these certificates, and individuals who are responsible for applications or servers that rely on these certificates.

The chosen PKI shall be co-operated and managed by the FiXs®-Certified Credential Issuer and the CA, where the FiXs®-Certified Credential Issuer is responsible for management of the FiXs®-Certified Card Management System (CMS) including communications, facility, etc. and the roles described in the CP regarding entities responsible for enrollment and registering of individuals; and, adjudication/ issuance of the FiXs®-Certified Credential and associated certificates. The FiXs®-Certified Credential Issuer's responsibility for performing all associated roles and functions controlling CMS including the registration, identification and authentication, issuance, and customer service processes; includes the auditing of these roles and functions.

The following services are necessary to meet the requirements of the associated CP, but may be provided external to the CA or CMA:

- Registration: A FiXs®-Certified Credential applicant must appear in person before a Registrar to witness and certify the validity of documents and to take affidavits and depositions), as stipulated by the Policy Authority, present valid identification and accept the FiXs® credential holder obligations.
- Enrollment: A Federal Information Processing Standards (FIPS) 140-2 Level 3 Secure Socket Layer (SSL) connection from the FiXs®-Certified CMS to the CA/ CMA.
- Enrollment Validation: The FiXs®-Certified CMS registration process validates the applicant's enrollment information.

- Adjudication/ Issuance: Face-to-face custody exchange of the FiXs®-Certified Credential by the Issuer to the credential holder.

Based on the FiXs® (FIPS-201 compliant) enrollment and registration provided by the FiXs®-Certified Credential Issuer, the CA/ CMA provides the following:

- Certificate Manufacturing: When notified by the FiXs®-Certified Credential CMS of a valid enrollment request, the CA/ CMA manufactures the requested certificate(s) for delivery to a FIPS 201 compliant card.
- Certificate Publishing: The CA/ CMA publishes it to a directory. The directory may be accessed via Hypertext Transfer Protocol over Secure Sockets Layer (HTTPS) gateway or via the LDAP protocol.
- Encryption Key Storage: Optional storage of escrowed encryption keys.
- Key Recovery: If encryption key escrow is selected, a Key Recovery Practice Statement (KRPS) shall detail the escrow and recovery processes.
- Certificate Status information: In the form of Certificate Revocation Lists (CRLs) distribution and Online Certificate Status Protocol (OCSP) responses.

It is the responsibility of the FiXs®-Certified Credential Issuer and the CA/ CMA to ensure that all of the requirements of the appropriate CP are met and are periodically audited by its independent auditor against the CPS and operates primary and secondary secure data centers in conformance with the Department of Defense (DoD), National Security Agency (NSA), U.S. General Services Administration (GSA) and best commercial practices.

2.4 Certificate Practice Statement

While the referenced CP defines the assurance can be placed in a certificate issued by a CA, the Certificate Practice Statement (CPS) states how the CA establishes that assurance. Each CA that issues certificates to FiXs®-Certified Credentials shall have an approved CPS corresponding to one or more of the referenced CPs, for the appropriate level of assurance. A FiXs®-Certified Credential Issuer shall only issue credentials with certificates that hold and assert the appropriate level of assurance as defined by this document.

2.5 Registration Practice Statement

The FiXs®-Certified Credential Issuer and the CA will define the separation of roles and special procedures used to manage FiXs®-Certified Credentials in accordance with the requirements of the appropriate CP or as may be more stringent than that set forth in the policy and the FiXs® Operating Rules. Prior to issuance of certificates to a FiXs®-Certified Credential, the Issuer will coordinate with the CA/ CMA to ensure that the procedures for authentication of personnel are documented in a Registration Practice Statement (RPS) and comply with the appropriate CP, and submitted to FiXs® for approval. The RPS shall require that registration, issuing and activation functions ensure that the applicant's identity information is verified. The RPS shall require that minimal procedures for authentication of employees and affiliated personnel are detailed, and shall clearly define those functions that are internal or outsourced. At a minimum, the RPS shall require authentication procedures include the following steps:

- The identity of the person performing the identification
- A signed declaration by that person that he or she verified the identity of the Applicant as required by the CPS using the format set forth at 28 U.S.C. 1746 (declaration under

penalty of perjury)

- Unique identifying number(s) from the ID(s) of the applicant
- The biometric of the applicant
- The date and time of the verification
- A declaration of identity signed by the applicant using a handwritten signature and performed in the presence of the person performing the identity authentication, using the format set forth at 28 U.S.C. 1746 (declaration under penalty of perjury).

In all cases a biometric of the applicant (e.g., a photograph and fingerprint in accordance with FIPS 201) shall be recorded and maintained by the Issuer (as defined in the RPS) to establish an audit trail for dispute resolution. (Handwritten signatures and other behavioral characteristics are not acceptable as biometrics for the purposes of this environment.)

Certificates issued on a FiXs®-Certified Credential shall be delivered via a GSA FIPS-201 approved CMS, refer to FIPS 201 Evaluation Program Approved Product List (<http://fips201ep.cio.gov/apl.php>).

The RPS will also define the process for the periodic FiXs® File Updates, in accordance with Section 1.2.7.1 of the FiXs® Operating Rules. In particular, a mechanism will be defined that will require the Subscribing Party to verify the Credential Holders authority to hold a FiXs®-Certified Credential. It is the responsibility of the FiXs®-Certified Credential Issuer to ensure proper firewall connectivity in order to receive, accept, process, and internally disseminate (if necessary) these updates. As a requisite for continued use of the FiXs®-Certified Credential, the FiXs®-Certified Credential Issuer must receive periodic updates from the FiXs® Sponsor's Program Manager, or his/her designated agent on behalf of the applicant. This verification shall be in writing and signed, or digitally signed, with an active FiXs®-Certified Credential or CAC credential using a Medium Hardware Assurance certificate.

2.6 Life Cycle Technical Controls

Individuals with FiXs® "trusted" roles shall use security management tools and procedures to ensure that the operational systems and networks adhere to the security requirements that check the integrity of the system data, software, discretionary access controls, audit profiles, firmware, and hardware to ensure secure operation.

Security management controls shall include the execution of tools and procedures to ensure that the operational system and network adhere to configured security. These tools and procedures include checking the integrity of the security software, firmware, and hardware to ensure their correct operation.

Components used for the issuance of FiXs®-Certified Credential shall be protected at the border and protection rules monitored. A network traffic recording, intrusion detection, and forensic analysis system shall be used to monitor intrusion attempts and policy verification (rated at EAL 2 in accordance with Intrusion Detection System Protection Profile (IDSPP)). Firewall, IDS, and network system configurations shall be documented and updates controlled and documented. Weekly review of the firewall and network system configurations against installation plans and procedures shall be made to ensure that no unauthorized changes are made to these systems. Detailed procedures for maintaining and inspecting the Firewall/ IDS and network devices and any anomaly detected shall be documented.

2.6.1 PHYSICAL SAFEGUARDS

Physical security safeguards and access controls shall continuously provide for protection against access or modifications to hardware/ software by unauthorized individuals. Hardware tokens will be stored in a security container. The CPUs, Redundant Array of Inexpensive Disks (RAID)/ external drives, monitors, keyboards, and mice will be sealed with Tamper Resistant Seals in accordance with paragraph 8-308, ISM and Tab B, Code A, Quantum Information and Computation (QUIC); in order to detect surreptitious entry into the equipment and associated peripherals. The seal will be inspected (and results logged) every month to ensure that it serves its intended use.

2.6.2 ACCESS CONTROLS

Unescorted entry to the facility hosting the CMS or access to any server components (hardware/ software) shall be limited to personnel who are cleared for access and whose need to access the components has confirmed.

2.6.3 EQUIPMENT

A FiXs®-Certified Credential CMS server is to be dedicated to administrating the system and shall only have software installed necessary to perform CMS functions. All upgrades will be from the original equipment manufacturers and software vendors.

2.6.4 UPGRADES

The configuration of related systems, as well as any modifications or upgrades, shall be documented. These systems shall have the capability installed and operating to detect unauthorized modifications to these systems software and configurations.

2.6.5 DEVELOPMENT ENVIRONMENT SECURITY

Assembly and maintenance of related systems will be accomplished in the controlled environment. Only designated personnel will perform maintenance on the related system.

2.6.6 CONFIGURATION MANAGEMENT SECURITY

Issuing related system(s) Configuration Management (CM) records shall be maintained and controlled (stored in a locked container).

2.6.7 NETWORK SECURITY CONTROLS

Access to any enrollment/ issuance data shall be protected. The issuer organization will certify compliance with these requirements, in writing to within the constraints of the RPS, annually.

2.7 Uniqueness Across the FiXs®-Certified Network

Each FiXs®-Certified Credential Issuer shall enforce credential uniqueness and ensure the following:

- The applicant does not hold an active FiXs®-Certified Credential
- The name contains the applicant's identity and organization affiliation that is meaningful

to humans

- The naming convention is as described in the corresponding CP and CPS

Practice note: *This does not prevent devices from sharing a Fully Qualified Domain Name (FQDN) as CN.*

Each FiXs®-Certified Credential Issuer will support special procedures that ensure that each individual holds only one active FiXs®-Certified Credential.

In all cases a biometric of the applicant (e.g., a photograph or fingerprint) shall be recorded and maintained by the FiXs®-Certified Credential Issuer to verify uniqueness across the FiXs®-Certified Network and establish an audit trail for dispute resolution (handwritten signatures and other behavioral characteristics are not accepted as biometrics for the purposes of this requirement). Prior to credential issuance the FiXs®-Certified Credential Issuer will verify that the FiXs®-Certified Credential holder's biometric does not exist in any FiXs®-Certified Domain Server.

Practice note: All certificates issued on a *FiXs®-Certified Credential Issuer* shall be issued via a GSA FIPS-201 approved CMS, refer to FIPS 201 Evaluation Program Approved Product List (<http://fips201ep.cio.gov/apl.php>).

Additionally, the FiXs®-Certified Credential Issuer shall record the process (es) followed for issuance of each certificate. The process documentation and authentication requirements shall include the following:

- The identity of the person performing the identification
- A signed declaration by that person that he or she verified the identity of the Applicant as required by the CPS using the format set forth at 28 U.S.C. 1746 (declaration under penalty of perjury) and that he or she verified, via the FiXs®-Certified Credential Network that the applicant does not hold another FiXs®-Certified Credential
- Unique identifying number(s) from the ID(s) of the applicant, or a facsimile of the ID(s)
- The biometric of the applicant
- The date and time of the verification
- A declaration of identity signed by the applicant using a handwritten signature that includes that assertion that the applicant does not hold another FiXs®-Certified Credential, performed in the presence of the person performing the identity authentication, using the format set forth at 28 U.S.C. 1746 (declaration under penalty of perjury).

3 SPONSORING ORGANIZATIONS INTO THE FiXs®-CERTIFIED NETWORK

Primary Trusted Organizations (PTO) and/or Subscribers are known as “Sponsors”. They sponsor individual users who are employees or contractual agents of the Sponsor to receive a FiXs®-Certified Credentials and into the FiXs®-Certified Network by assuming responsibility for the acts and omissions of the Participants they sponsor.

3.1 Vetting

Any organization applying to be a PTO or Sponsor must be vetted by a FiXs®-Approved Vetting Organization.

3.2 Sponsorship of Employees

To sponsor an employee and/or contractual agent to receive a FiXs®-Certified Credentials and into the FiXs®-Certified Network, the Sponsor must assert in writing to the FiXs®-Certified Credential Issuer that its employees, contractual agents, or other users have a bonafide need a FiXs®-Certified Credential. The Sponsor must indemnify FiXs® and FiXs® Member Organizations that provide services in support of FiXs®, for the acts and omissions of the applicants it sponsors through the execution of a Terms of Use Agreement.

3.3 Adhere to FiXs® Foundational Documents

Sponsors must abide by the Terms of Use Agreement, adhere to the governance framework as provided for in the FiXs® Foundational Documents, and adhere to the seven-step credential management process outlined in the Trust Model.

3.4 PROCESS FOR ENABLING SPONSOR ORGANIZATIONS

In accordance with FiXs®’ agreements for populating the metadata tables to inter-operate with the DCCIS Gateway Broker and the FTB, updated versions of the FiXs® Assigned Commercial Organization Codes table will be provided to the Department of Defense (DoD) on a regular basis. The criteria for providing these updated are as follows:

1. All firms who apply for FiXs® membership will be subject to the standard FiXs® organizational vetting process.
2. Upon successful adjudication of the vetting process FiXs® and acceptance into membership in FiXs®, a unique organizational code will be assigned and maintained in a local FiXs®-Certified database.
3. FiXs® will then query the newly vetted company and ascertain if they have a need/requirement to have FiXs®-Certified Credentials issued to their employees and/or contractual agents.
4. If the company respond affirmatively and intends to have FiXs®-Certified Credentials issued to their employees and/or contractual agents, they will be asked to sign the FiXs® standard "Terms of Use Agreement". This agreement is a legal document which compels the company to abide by all these FiXs® Operating Rules; policies; standards; security requirements; and audit procedures.
5. Upon the proper execution of this document, FiXs® will then notify DoD via formal letter entitled, "FiXs® Assigned Commercial Organizational Codes," and request DoD coordination on adding the company's organization code to the metadata table.

6. DoD will turn around the request within 72 hours.
7. FiXs® will load the Organization Codes in the FiXs® Trust Broker and DoD will load the Organization Codes in the DCCIS Trust Broker and then the next time the Brokers synch, the updates will be reflected in both tables.
8. FiXs® will maintain a repository of all executed Terms of Use Agreements and DoD will have access to that repository.
9. The Terms of Use Agreements will be subject to audit and process review by both the FiXs® audit team and the DoD audit team.
10. This process is to be set forth in the MOU between DoD/DMDC and FiXs®.
11. All companies are subject to the described process before FiXs® will notify and coordinate with DMDC on updates to the metadata tables.
12. FiXs® also maintains a process of assigning a unique system that is comparable to a FASC-N code for all FiXs®-certified FiXs®-Certified Credential Issuers. These codes will be assigned sequentially.

4 RELYING PARTY RESPONSIBILITIES

FiXs® Relying Parties are responsible for electronically authenticating FiXs® Participants who visit their facilities. This chapter describes the responsibilities of Relying Parties in the FiXs® system. Relying parties are also those persons and entities that accept and rely upon FiXs®-Certified Credentials for purposes of verifying digital signatures. A Relying Party is an individual or organization that, by using another's certificate can:

- Verify the integrity of a digitally signed message.
- Identify the creator of a message, or establish confidential communications with the holder of the certificate.
- Rely on the validity of the binding of the credential holder's name to a public key.

A Relying Party, at their own risk, may use information in the certificate (such as certificate policy identifiers) to determine the suitability of the certificate for a particular use.

To assist Relying Parties to meet their responsibilities for logical authentication a FiXs® Relying Parties are responsible for electronically authenticating FiXs® Participants who visit their facilities. This chapter describes the responsibilities of Relying Parties in the FiXs®-Certified System to provide the following:

- Clear verification of medium hardware assurance via Federal OIDs, as stipulated in Section 1.6
- Unique identity across all FiXs®-Certified Credentials
- Identification of FiXs® assurance level
- Highly available revocation information
- The assurance of a FiXs®-Certified Credentials, as stipulated in these FiXs® Operating Rules, that includes a background investigation of all Level 3 and 4 FiXs® credential holders

4.1 Visitor Transaction Processing

In the FiXs®-Certified System, the Relying Party will be responsible for initiating and processing the transactions that will authenticate the FiXs® Participant.

4.1.1 CREDENTIAL VALIDATION AND TRANSACTION ROUTING

The processing or re-routing of a transaction to the FTB is determined at the Relying Party's FDS. When compiling an Authentication Inquiry, the software determines whether it is a home or remote transaction and transmits the Inquiry either to its FDS or to the FTB for routing to the appropriate Member's FDS. A **Home Transaction** refers to an Authentication Inquiry that is processed at the same FDS as the originating Relying Party. In this case, the employee is being authenticated at an employee facility. A **Remote Transaction** refers to an Authentication Inquiry that is routed through the FTB to be processed at a FDS other than of the originating Relying Party. In this case, the employee is a visitor to the location of the Authentication Station. The credential validation is processed as described in the sections that follow:

4.1.1.1 Initiating Authentication Inquiry

When a visitor arrives, the Authentication Station Operator asks whether the individual is a FiXs® member. If yes:

4.1.1.1.1 Enter Data to FiXs® Application

The FiXs®-Certified Authentication Station Operator selects the visitor's home organization on the first FiXs® screen. The system displays instructions as to what data to enter or which credentials to use for authentication. Depending on the level of the credential being read, the FiXs®-Certified Authentication Station Operator will be instructed to perform one of the following procedures:

4.1.1.1.1.1 READ BAR CODE DATA

The FiXs®-Certified Authentication Station Operator inserts the token/badge into the bar code reader, which reads the ID number and transmits it as a string of data to the FDS.

4.1.1.1.1.2 READ CAC CHIP DATA

The FiXs®-Certified Authentication Station Operator inserts the CAC card into the smart card reader. The FiXs® Participant enters his/her PIN using either a PIN pad or keyboard and a string of data is extracted from the card chip and sent to the FDS.

4.1.1.1.1.3 REQUEST EMPLOYEE ID NUMBER

The FiXs®-Certified Authentication Station Operator will be required to request and enter the employee's ID number into the Authentication Web Application Software.

4.1.1.2 Transaction Routing

Using the organization data selected, the Authentication Inquiry with the credential information can be routed to the record-holding FDS. A transaction is a "home" or "remote" transaction as described below.

4.1.1.2.1 Home Transactions

If the FiXs®-Certified Authentication Client determines that a request can be processed internally, this is a Home transaction. In this case, the Relying Party's FDS processes the transaction in the same manner as described below in Section 3.1.2; however, the transaction is locally processed and no data is transmitted to the FTB.

4.1.1.2.2 Remote Transactions

If the FiXs®-Certified Authentication Client determines that a request cannot be processed internally based on the selected organization code, it then creates an Authentication Inquiry and

forwards it to the FiXs® Trust Broker for processing as per Section 3.1.2 below.

4.1.2 PROCESSING AUTHENTICATION RESPONSES

Based on the information the FiXs®-Certified Authentication Station Operator submits during the visitor intake process, the system will return instructions to perform one or more of the following transactions to authenticate the individual.

4.1.2.1 Complete Credential Holder Authentication

To complete an authentication transaction, the FiXs®-Certified Authentication Station Operator must perform one or more of the following operations.

4.1.2.1.1 Visual Comparison of Downloaded Photo to Badge Holder

The FiXs®-Certified Authentication Station Operator visually compares the photo transmitted from the server or downloaded from the card to the Credential Holder/Visitor. The Operator enters the results of the visual match onto the FiXs®-Certified Authentication Client application.

4.1.2.1.2 Biometric Scan and Comparison

The FiXs®-Certified Authentication Station Operator instructs the visitor to initiate a biometric scan using the fingerprint reader. The system performs a comparison against the downloaded biometric and indicates the results of the comparison on the FiXs®-Certified Authentication Client.

4.1.2.2 Determine Access Authorization

Based on the results of the authentication process, the FiXs®-Certified Authentication Stations Operator decides whether the FiXs® Participant will be offered access based on local operating procedures. The FiXs®-Certified Authentication Station Operator shall enter his or her decision into the FiXs®-Certified Authentication Station and the decision shall be recorded in the system Audit Log. Note that the FiXs® authentication process does not automatically authorize access; it is only an authentication procedure. Access decisions will always be left to the discretion and procedures established at the Relying Party's organization.

4.2 Exception Processing

Exception Processing refers to the procedures that will be followed when the FiXs System as per the normal procedures described in these Operating Rules cannot authenticate a credential or participant. The requirements for addressing these conditions are described in the section that follows.

4.2.1 BADGE/TOKEN-NOT-PRESENT

In the event that an individual claiming to be a FiXs Participant requests entry to a FiXs Member facility but does not have a badge or token, the Authentication

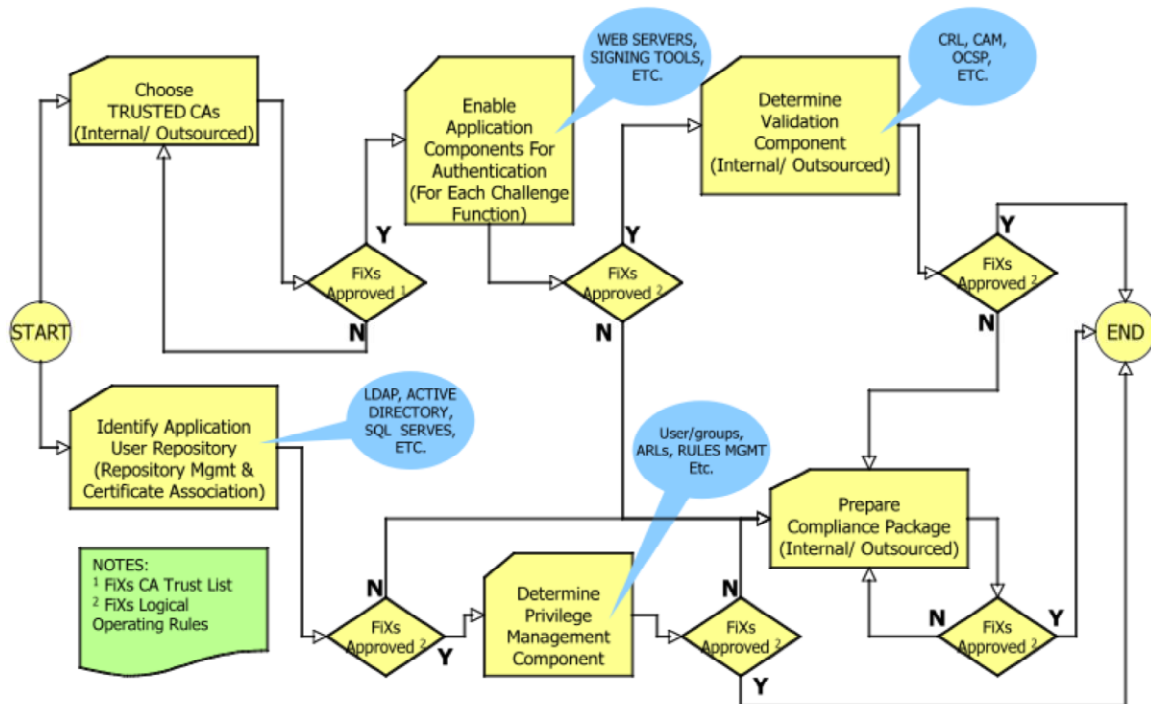
Station Operator will ask for the individual's company name and Employee ID number and continue with the normal authentication procedures as described in Section 3.1.1.1.

4.2.2 OTHER EXCEPTIONS

In the event that an individual claiming to be a FiXs Participant cannot be authenticated by means of a FiXs Authentication Inquiry/Response, then the individual cannot be admitted as a FiXs Member and the entry admittance process can no longer be considered a FiXs Transaction. In such cases, the Relying Party Organization may choose local security processes and procedures to allow or deny admittance. Such exception conditions can include, but are not necessarily limited to: unrecognized participant, unreadable badge/token and inability to reach an employer's FDS (issuer system down, FiXs Trust Broker down, relying party system down, etc.).

4.3 Application Provisioning

In the FiXs®-Certified System, the Relying Party will be responsible for initiating and processing the transactions that will validate the FiXs® participant's digital certificate. A relying party must determine the level of assurance (or trust) that will be acceptable for authenticating to a particular application or network.



4.3.1 TRUST DETERMINATION TECHNIQUES AND PARAMETERS

A FiXs® Relying Party can establish cross-domain PKI trust using a variety of techniques. Manually, a relying party can review and add the appropriate trust anchors for each applicable PKI into their application or network trust store(s). A

FiXs®-Certified Validation Service can be used to automate this by providing trust based on (a) path discovery and path validation, and/or (b) specific trust lists either derived from the Federal Bridge Certificate Authority.

4.3.2 ENABLE APPLICATION AUTHENTICATION

Possibly the single most important function the digital certificates on the FiXs®-Certified Credential can perform for Relying Parties is Identification and Authentication for applications and implementing such that it builds a Reduce Sign On (RSO) enterprise.

FiXs® Relying Parties need to be cognizant of X.509 Digital Certificate technology in order to plug directly into the FiXs® recognized PKIs. In order to use certificates for user authentication, an application today needs to recognize and correctly use Trusted Third Party (TTP) certificates. The application needs to correctly parse the CA chain hierarchy containing a Root CA, Intermediate CA and End Entity certificates.

4.3.2.1 APPLICATION (COMPONENT) CERTIFICATES

Relying Party computing and communications components (web servers, routers, firewalls, authentication stations, etc.) may be named as certificate subjects. In such cases, the component must have a human PKI Sponsor as described in the ECA CP. The PKI Sponsor is responsible for providing the approved Registration Authorities, through an application form, correct information regarding:

- Equipment identification
- Equipment public keys
- Equipment authorizations and attributes (if any are to be included in the certificate)
- Contact information to enable the ECA to communicate with the PKI sponsor when required in accordance with the appropriate CPS.

4.3.2.2 APPLICATION (COMPONENT) PRIVATE KEY PROTECTION

At a minimum FiXs® Relying Party computing and communications components (web servers, routers, firewalls, authentication stations, etc.) shall protect the certificate private key(s) in a hardware device such as a Trusted Platform Module, as stipulated in the DoD CIO Memorandum, *Encryption of Sensitive Unclassified Data at rest on Mobile Computing Devices and Removable Storage Media*, dated July 03, 2007.

4.3.3 USER REPOSITORY/ PRIVILEGE MANAGEMENT

Possibly the single most important function the digital certificates on the FiXs®-Certified Credential can perform for Relying Parties is Identification and Authentication for applications and doing it in a way that builds a Reduce Sign On (RSO) enterprise. Arguably, the most important part of any application is the design of the user database. Many times the user database becomes a stovepipe database joining hundreds of others for which each user must have a name and password. Additionally, the application program office must take on the responsibility of verifying the identity of individuals before they are given an

account. The Federal PKIs provide an efficient and elegant method to solve this most important aspect of application development.

Managing access control efficiently remains a challenge. In a broad sense, there are two prevalent types of applications. One type has many users across regions and would benefit from the integration of role-based access. The other type has fewer users and requires a higher degree of assurance in explicitly granting and denying access. Although the integration of the digital certificates on FiXs®-Certified Credentials into access control can help with the problem of expired accounts and globally revoked access, it does not address the general access management problem. The use of directories can provide support, but only if both types of access requirements are addressed.

4.3.3.1 Basic Access Control

Individual certificates include a Distinguished Name (DN), which contain as a minimum, a common name, organization and country; and, may contain organizational units. This information constitutes a branch in the Directory Information Tree (DIT). For some applications, digital certificates containing a branch within the DIT (e.g., Service, specific contractor affiliation, foreign national, etc.) may be satisfactory for access. For this case, access may be granted to all holders of approved certificates within the tree branches accepted by the server. For example, by configuring an open systems secure web server to trust ECA certificates, a particular web enabled database could allow access to only ECA certificate holders with a `ou=<any>`. The application would then only allow user or external application interactions through that authenticated route. For all other potential activity, its resources and that of its server would be unavailable or strictly controlled.

4.3.3.2 More Defined Access Control

Some Relying Party applications may require stricter access control based on the identity of the certificate holder. This is a local issue managed by the server administrator. In this case, the application not only needs to authenticate the user, but provide a mechanism that determines roles and privileges based on user identity. For example, affiliated users may be able to view data posted by a specific application; however, to make changes or updates to that data, it may be necessary for the user to be a member of a small sub-group that is not identified by the certificate.

The Relying Party's application must have a repository of access control information that facilitates the desired privilege control based on the user identified in the certificate. The repository would contain entries for all registered users of any application within the network (Note: It does not need contain user entries for all certificate holders within the FiXs® community) and contain groups representing roles and access privileges. In many cases, this information would parallel user name and password repository information currently employed by the application.

Application owners can also determine if existing roles meet access requirements or provide a group manager who can maintain explicit access permissions. Given

this capability, the Relying Party can then apply its own local access rules to ensure only those with a need to know can access particular data files. By using an open systems LDAP directory (to manage users and groups/roles), access control management can be accomplished across the Internet securely. The application may also maintain the access control lists that reside in another repository at the discretion of the application manager. This approach is particularly efficient when user roles, privileges and allowed accesses change frequently, and when an enterprise contains diverse applications.

4.3.3.3 Access Control Mechanisms

The mechanism by which an enterprise repository should be populated with user information must be addressed. By using a secure repository gateway, first time users can establish accounts by presenting their certificates to a directory validated by the gateway. A registration request web form can be used to create a user account, based on the user certificate presented, and to record access privilege request information. Upon reviewing the requests of the user, each application owner can assign privileges to individual accounts, confident of the identity of the requester. Alternatively, the application owner can make provisions for bulk registration by downloading certificate information, in whole or part, from each trusted CA repository.

Many applications use a DBMS to hold the user database. Web applications may use the authorization features of the DBMS or the authorization features of the web server. Many web applications have web servers with mechanisms that interoperate with LDAP directories.

A common scenario is for local application and process owners to independently manage user access and privileges via access control lists (ACLs) or similar mechanisms on the application server. This is done on a recurrent, dynamic, ongoing basis across the enterprise for each and every different application environment --- quite a significant amount of overhead when viewed as an aggregate effort, enterprise-wide.

A directory can be the repository for user information, user public key certificates, and lookup information (email, phone, address, etc.). Numerous commercial organizations have reduced administrative costs and increased administrative accuracy and efficiency by leveraging an enterprise directory as a unifier and control mechanism; for example, by integrating human resources and network access controls with the enterprise PKI and its directory. Application access and privilege management can also be automated using the existing repository of a PKI, reducing administrative overhead and strengthening ownership controls, with minimal impact to existing application systems. This approach retains full control for the data owners within strict accordance to enterprise security policies. The repository can accommodate access control and other user information (attributes) down to the individual entry, so that it can be used to implement security policies as well as application owner-directed access control. Servers can build and store ACLs using the users and groups/roles according to the application owners controlled processes.

4.3.4 DIGITAL SIGNATURES AND STORAGE CONSIDERATIONS

If you are receiving or collecting something that is signed digitally, whether once or several times by several signatories, you must have (1) a means to capture the form and the data on that form; (2) a means to capture the signature (hash) and the public key to decipher the hash and (3) a validation of the signature at that time and place (proven time-stamp).

This means the recipient will need three signatures to establish non-repudiation of the signed document/ form. First is the signature of the person or persons who signed the form; second is the signature of the validation mechanism; and third is the signature of the time stamping entity.

To complete the transaction and provide a complete record for the recipient and the provider, a receipt (also signed and date-stamped) could be provided and filed with the document/form.

As a related matter having nothing to do with non-repudiation, the recipient must be able to use the information received, so his file must be such that the data on the form can be parsed and reassembled, sorted and/or collected with other information received from other providers.

At the time the information is first received, recall and use of the information is straightforward, but many users do not consider the fact that they must be able to determine non-repudiation of electronic data and electronic signatures years later, just as is required for signed (paper) legal documents. In order to do this, one must be able to recreate the ability to decipher the information using a public key no longer in use, and prove the signatures were valid at the time they were affixed.

This means the recipient will need three signatures to establish non-repudiation of the signed document/form. First is the signature of the person or persons who signed the form; second is the signature of the Validation Authority; and third is the signature of the time stamping entity.

4.4 Documenting Compliance

FiXs® certified Relying Parties operating under the standards of the Federation, shall conduct a compliance audit no less than once every three (3) years. Additionally, the FiXs® has the right to require periodic or ad hoc inspections.

4.4.1 IDENTITY/QUALIFICATIONS OF COMPLIANCE AUDITOR

The auditor must demonstrate competence in the field of compliance audits, and must be thoroughly familiar with the CPS' and CP's trusted by the Relying Party.

4.4.2 COMPLIANCE AUDITOR'S RELATIONSHIP TO AUDITED PARTY

The compliance auditor either shall be a private firm, which is independent from the entities being audited, or it shall be sufficiently separated organizationally from those entities to provide an unbiased, independent evaluation. An example of the latter situation may be the approach of an Agency Inspector General. The FiXs® shall determine whether a compliance auditor meets these requirements.

The Relying Party is responsible for identifying and engaging a qualified auditor of

operations.

4.4.3 LIFE CYCLE MANAGEMENT STRATEGY

The most important features of sound life cycle management are:

- Keeping the system fully functional throughout installation of any change;
- Ensuring security is not breached and the auditability of system security is maintained throughout;
- Ensuring system archives are unaffected and the ability to retrieve signed documents is maintained;
- Developing a rigorous and comprehensive test and evaluation process as part of the planning for each step of the modernization;
- Ensuring training is conducted for operators and managers beforehand such that personnel are fully prepared to deal with display and procedural changes.

5 FiXs®-CERTIFIED TRUST BROKER (FTB) RESPONSIBILITIES

This Section describes the responsibilities of FTB in the FiXs®-Certified System. Serving as the operation intermediary between the FiXs®-Certified Credential Issuers and Relying Parties, the FTB is responsible for management and administration of the FTB function as well as the day-to-day operations of the FTB including system administration. These requirements are described in the sections that follow.

5.1 System Administration Requirements

This section describes the system administration requirements associated with the FTB.

5.1.1 DESIGNATE FTB SYSTEM ADMINISTRATOR

Any organization that has a component that connects to the FTB must designate an Administrator. The Administrator shall be responsible for the tasks described in Sections 5.1.2 and 5.1.3.

5.1.2 MEMBER INTERFACE MANAGEMENT

The Administrator is responsible for configuration management of the FiXs®-Certified System communications and interfaces.

5.1.3 MAINTENANCE OF CONTROL DATA

The Administrator is responsible for maintaining a set of control tables that is used to share and update FiXs® Member organization names, characteristics, and list of acceptable tokens. In this role, the FTB must update the control tables upon activation of new FiXs® Member Organizations; de-activation of existing FiXs® Member Organizations and Participants; and changes submitted by existing FiXs® Member Organizations and Participants. Control table changes are transmitted to all FDSs on a regular and frequent basis. Upon receiving changes to the control tables from FiXs® Members, the FTB must update them as soon as possible, but no later than 24 hours after receiving the changes.

5.1.3.1 FiXs Node Transacting with DMDC

Each FiXs nodes to be added to the FTB for the purpose of transacting with DMDC shall be formally presented to the FiXs Configuration Control Board (CCB) for review and acceptance. After the node has gone through formal "testing" in the FiXs-Certified Test/ Lab environment it will undergo a Certification and Accreditation with the FiXs-Certified Network Provider prior to approval.

5.1.3.2 FiXs Node Approval

Each FiXs node must be approved by the FiXs DAA for IATO and ATO matters, who will be the "Authorizing Agent" for additions to the Network, in accordance with the FiXs Certification and Accreditation process.

5.1.4 ACTIVATION AND DE-ACTIVATION OF FiXs®-Certified DOMAINS

Upon authorization of the Administrator of connecting components, the FTB Administrator will activate and de-activate FDSs from the FTB.

5.1.4.1 Initiation of Domain Enrollment Process

For security purposes, Domain Enrollment Process Initiation begins with

the Member's official representative signing the trading partner agreement using a "chain-of-trust" process linked to the Member's first system enroller. Membership in the FiXs®-Certified System is initiated when a senior management representative of the applying Member Company or organization signs a trading partner agreement with the Operating Entity. (For the POC and pilot, the Operating Entity is the DMDC.) A letter is sent to the Operating Entity (DMDC) by the authorized representative appointing two individuals from the company or organization to serve as the Domain Technical Administrator and the first Facility Enroller.

The Operating Entity sends an Authorized Agent to the company location to officially open the FDS and to witness the initial enrollees being entered into the FiXs®-Certified System. (This Authorized Agent's credentials were included on the application prior to delivery to the company or organization.) At the same time, the credentials of the Authorized Agent are removed from the FDS. This process is certified on paper by the Authorized Agent and the company/organization representative and is placed in the audit files of the new Member and of the Operating Entity.

Refer to the *FiXs® Technical Architecture and Specifications* regarding key management associated with this Initiation of Domain Enrollment Process.

5.1.4.2 Activation of FiXs®-Certified Domains

For new FiXs® Members, a FDS ID will be assigned to the new FDS and entered into the system along with contact and control information. The control information will then be transmitted to other FDSs. Upon receiving notification of activation of a new Participant, the FTB Administrator must update the Control Tables as soon as possible, but no later than three (3) hours after receiving the notification.

5.1.4.3 De-Activation of FiXs®-Certified Domains

For dis-enrollment of FiXs® Member Organizations, the FDS ID will be de-activated in the FiXs®-Certified System and contact and control information removed. Notification of de-activation will then be transmitted to the remaining FDSs.

5.1.4.4 Dis-Enrollment, Reinstatement and Re-Enrollment of Participants

Upon receiving notification that a Participant is no longer eligible to be included in FiXs®, the FTB Administrator must dis-enroll them as soon as possible, but no later than three (3) hours after receiving the notification.

Upon receiving notification that an employee who was formerly enrolled in the system is again eligible for enrollment, the Facility Enroller can reinstate the employee into the FiXs®-Certified Data Repository without conducting the identity vetting process specified under 2.1.2, Verify Applicant Identification (Vetting/Identity Proofing), provided the reinstatement occurs within twelve (12) months of dis-

enrollment.

If an employee becomes eligible for enrollment twelve (12) months after dis-enrollment, the employee must be re-enrolled in accordance with Section 2.1.3.

5.1.5 SYSTEM PERFORMANCE REQUIREMENTS

The FTB must be operational 24 hours a day, 7 days a week, with an up-time availability of 99.99%. Authentication Inquiry Transactions must be transmitted to the FiXs®-Certified Credential Issuing FDS in no more than 2.5 seconds. Authentication Responses must be processed and transmitted to the Relying Party in no more than 2.5 seconds.

5.2 Transaction Processing and Routing

The FTB must route and process transactions between FiXs®-Certified Credential Issuers and Relying Parties. The FTB receives Authentication Inquiries from Relying Parties and transmits them to FiXs®-Certified Credential Issuers for processing. It then receives the Authentication Responses and relays them back to the appropriate Relying Parties. In addition, the FTB Administrator performs control data transactions. Refer to the *FiXs® Technical Architecture and Specifications* for transaction/message format and encryption requirements.

5.2.1 AUTHENTICATION INQUIRIES

When a transfer is sent from a Relying Party to the FTB requesting authentication of a FiXs® Participant of a Remote FiXs®-Certified Credential Issuer, the FTB: 1) decrypts the header to determine the FDS destination; 2) validates the digital signature of the originating FDS; 3) adds FDS control data to the transfer and re-encrypts it; and 4) transmits it to destination FDS.

5.2.2 AUTHENTICATION RESPONSES

When a remote FiXs®-Certified Credential Issuer returns an Authentication Response, the FTB: 1) decrypts the transfer; 2) adds FDS control data to the response and re-encrypts it; and 3) transmits the response to the Relying Party.

5.2.3 AUDIT CONTROL DATA TRANSACTIONS

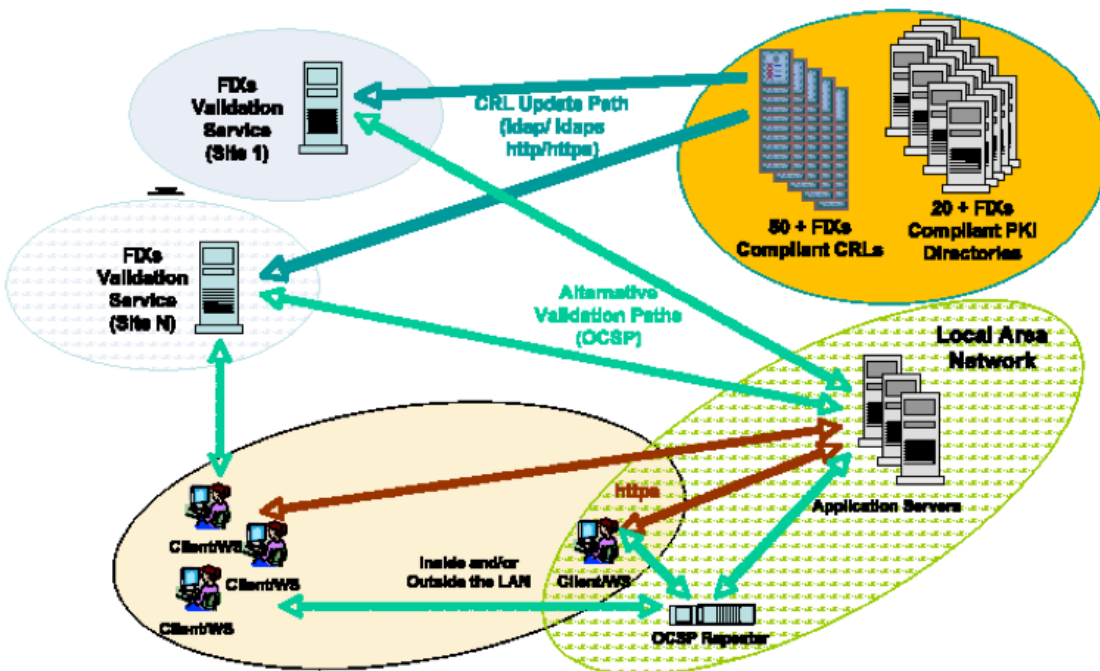
The FTB must notify FDS domains of control table updates by: 1) updating the internal Control Date and Time that accompanies all transfers, and 2) responding to FiXs®-Certified Control Data Requests with a FiXs®-Certified Control Data Response that updates control data and resets the Control Date and time in the FiXs®-Certified Domain(s).

5.3 FIXS®-CERTIFIED CERTIFICATE VALIDATION

A FiXs®-Certified Validation Service is a FiXs®-Certified Network component, similar to a trust broker that provides revocation status. A FiXs®-Certified Validation Service Provider shall conform to the stipulations of the CPs for which it serves validation information. All FiXs® Validation Service Provider practice updates, as well as any subsequent changes will be updated in their compliance documentation and submitted to the FiXs® Board for conformance assessment. The Validation Service Provider practices include:

- Conformance to the stipulations of the US Government CPs
- Ensuring that certificate and revocation information is accepted only from valid CAs
- Include only valid and appropriate responses
- Maintain evidence that due diligence is exercised in validating certificate status

A FiXs®-Certified Validation Service Provider resides on the FiXs®-Certified Network as depicted in the figure below.



A FiXs®-Certified Validation Service Provider provides OCSP responses to credential holders and is responsible for:

- Providing certificate revocation status to the Relying Parties upon request
- Ensuring that the status and validation responses contain authentication and integrity services commensurate with the assurance level of the certificate being checked
- Two party administration of the Validation Service Components

A FiXs®-Certified Validation Service Provider shall ensure that:

- An accurate and up-to-date CRL, from the authorized CA, is used to provide the revocation status
- Revocation status responses provide authentication and integrity services commensurate with the assurance level of the certificate being checked

5.4 TRUST DETERMINATION

A FiXs®-Certified Validation Service shall support different validation parameters (i.e., a list of trust anchors, or a list of CAs on a trust list), and shall support applications selection of these parameters by applications for validation based on rules provided by the application and specific instructions provided in the validation request.

In some cases, the type of trust determination possible is dictated by the validation request protocol. For example, in OCSP, only hashed data from the certificate is provided, rather than the certificate itself. In general, this precludes path discovery and validation, which require the entire certificate to seed the process. For OCSP, the Federal Government recommends a trust list based trust based validation process.

In cases where the specifics of the request protocol do not preclude particular trust determination techniques, a validation service can provide a variety of techniques. At a minimum, a FiXs®-Certified Validation Service shall be capable of providing trust based on both (a) path discovery and path validation, and (b) trust lists.

The FiXs®-Certified Validation Service shall support the application's capability to specify validation parameters either as required settings for all validation requests from the application, or by providing a default with the option of per-request overrides of the path settings when transmission of per-request settings is supported by the validation protocol.

5.4.1 PATH-BASED TRUST

For path-based trust, the FiXs®-Certified Validation Service shall support the application's capability to specify (at a minimum) allowable trust anchors and has the option of setting path processing starting point policy requirements. For trust lists, a FiXs®-Certified Validation Service shall support the application's capability to be able to list either the direct issuing CA or the hierarchical root of the issuing chain.

5.4.2 VALIDATION PROTOCOLS

For validation protocols that do not provide a mechanism for the application to identify themselves (and thus select their validation parameters), a FiXs®-Certified Validation Service shall provide a method outside the protocol for identification of the requestor, such as identifying the network address from which an address comes, or by providing different service network addresses to each application.

This validation parameter selection mechanism shall also be extensible such that an application may have multiple validation parameter sets that they may utilize. For example, this could be implemented by an application using multiple "virtual" identities, each of which select a particular set of validation parameters.

5.4.3 OTHER TRUST DETERMINATION TECHNIQUES

There are other possibilities for trust determination. For example, an application manager may decide that it must determine trust locally and wish to utilize the FiXs®-Certified Validation Service for a near real-time status check only, or it may designate an external service for trust determination.

FiXs® shall take these trust determination options, and the possibility of future options, into account when enhancing their technical architecture.

5.4.4 CHECKING CERTIFICATE REVOCATION LIST

FiXs® standards support checking of CRLs to determine certificate validation status, online, near real-time, including all subtypes of CRLs (delta, indirect, partitioned, etc). The requirements for path validation of CRLs is provided by the PD-VAL documentation will specify the exact types of CRLs that the FiXs® recognized PKIs process.

As part of the application defined validation parameters, the FiXs®-Certified validation system supports controls over the caching of CRLs. Some applications require constraints on the amount of time a CRL is cached for (or disable caching completely) regardless of the CRL's expiration date. Other applications may require caching of CRLs until their internal expiration.

The FiXs®-Certified Validation Service supports a number of techniques to obtain CRLs, at a minimum: processing CRL Distribution Point (CDP) extensions when present and querying one or more directory systems (such as the FBCA LDAP servers), based on the assumption that CRLs will be stored under the distinguished name of the issuer of the certificate. Optionally, the FiXs® validation system could provide support for a local "hint database" of rules to obtain commonly needed CRLs that are not located by either of the above methods.

The FiXs®-Certified Validation Service could also provide support pre-fetching of large CRL's that particular applications use frequently. This feature would be further enhanced if the FiXs®-Certified Validation Service could automatically determine the list of CRLs that would be useful to pre-fetch, and if the system automatically scheduled downloading replacements when pre-fetched CRLs expire.

5.4.5 ONLINE CERTIFICATE STATUS CHECK

A FiXs®-Certified Validation Service shall support multiple techniques to determine whether OCSP is supported for a particular certificate, and if so, determining the correct OCSP responder to contact. At a minimum, a FiXs®-Certified Validation Service shall support processing the Authority Information Access (AIA) extension to search for OCSP server addresses, and shall support a database of OCSP responders for known CA's that utilize OCSP but do not populate the AIA extension.

A FiXs®-Certified Validation Service shall support the OCSP protocol as specified in IETF RFC 2560 or latest specification. This provides a Managed OCSP responder for applications unable to use AIA fields to directly contact issuer's responders and/or the application-specific trust determination in addition to an online status check.

5.4.6 STANDARD CERTIFICATE VALIDATION PROTOCOL (SCVP)

A FiXs®-Certified Validation Service shall support SCVP, as SCVP is the protocol identified as "proper" by the IETF for use in requesting delegated path validation (DPV). There are a number of features within the SCVP protocol definition that are "optional." That is, it either indicates that a server "SHOULD" or "MAY" support the option or combination of options. For such functionality, FiXs® shall implement the "optional" component if any authorized application requires it. Otherwise the functionality need not be implemented; although the FiXs® validation system

should return a correct “not implemented” code should a request for an unimplemented feature be received.

5.4.7 FULLY PD-VAL CAPABLE WEB SERVERS

A FiXs®-Certified Validation Service shall toolkits that can be plugged into web servers that provide full, pd-val (path discovery and validation). Because this model is necessitated by COTS web server design, but has an unfortunate side effect: if the native mechanism rejects a certificate, the toolkit will never have a chance to validate the certificate. To ensure that the native mechanism does not cause false negatives, the native mechanism requires a high degree of trust. A FiXs®-Certified Validation Service shall maintain a “hints list” approved by the FiXs® Operations Committee.

5.4.8 OTHER TECHNIQUES AND PROTOCOLS

As part of support for application defined validation it is likely that other near real-time, online status checking protocols will come into common use in the future, and/ or that applications may come up with other special exception rules (for example, they may wish to override certificate AIA fields in certain circumstances, or have test certificates return fixed status results without actually processing an on-line check). A FiXs®-Certified Validation Service will update capability as the FiXs® \Operating Rules evolve.

5.5 OCSP Responder Self-Signed Certificate

Any self-signed OCSP responder used for verifying certificates asserting a policy OID reference herein are required to meet the certificate profile stipulated below and the stipulations above.

FiXs® disclaims any liability for loss due to use of any validation information relied on by any party that does not comply with this stipulation.

Note: The following profile is for a FiXs® entity that chooses to deploy a Self-Signed OCSP responder.

Field	Value
Version	V3 (2)
Serial Number	Must be unique
Issuer Signature Algorithm	sha-1WithRSAEncryption {1 2 840 113549 1 1 5}
Issuer Distinguished Name	cn=<OCSP Responder Name>, ou=<Company Name>, ou=<CA Name>, o=U.S. Government, c=US
Validity Period	3 years from date of issue in Generalized Time format
Subject Distinguished Name	cn=<OCSP Responder Name>, ou=<Company Name>, ou=<CA Name>, o=U.S. Government, c=US
Subject Public Key Information	1024 bit RSA key modulus, rsaEncryption {1 2 840 113549 1 1 1}
Issuer Unique Identifier	Not Present
Subject Unique Identifier	Not Present
Issuer’s Signature	sha-1WithRSAEncryption {1 2 840 113549 1 1 5}
Extensions	Not Present

5.6 OCSP Responder Certificate

Note: This profile is used only for Validation Service Provider

Field	Value
Version	V3 (2)
Serial Number	Must be unique
Issuer Signature Algorithm	Refer to Certificate Policies referenced
Issuer Distinguished Name	Refer to Certificate Policies referenced
Validity Period	1 month from date of issue in UTCT format
Subject Distinguished Name	Refer to Certificate Policies referenced
Subject Public Key Information	Refer to Certificate Policies referenced
Issuer Unique Identifier	Not Present
Subject Unique Identifier	Not Present
Issuer's Signature	Refer to Certificate Policies referenced
Extensions	
Authority key identifier	Octet String, Refer to Certificate Policies referenced
Subject key identifier	Octet String, Refer to Certificate Policies referenced
Key usage	c=yes; nonRepudiation, digitalSignature
Extended key usage	c=yes; id-kp-OCSPSigning {1 3 6 1 5 5 7 3 9}
Certificate policies	c=no; Refer to Certificate Policies referenced
Subject Alternative Name	http URL for the OCSP Responder
Authority Information Access	c=no; caIssuers= <http URL for the issuers root>
No Check	id-pkix-ocsp-nocheck; {1 3 6 1 5 5 7 48 1 5}

5.7 OCSP Request Format

FiXs®-Certified OCSP requests are not required to be signed. A FiXs®-Certified Validation Service's OCSP responder will not check the signature on the request. See RFC2560 for detailed syntax. The following table lists which fields that are required by a FiXs®-Certified Validation Service's OCSP responder.

Field	Expected Value
Version	V1 (0)
Requester Name	Not Required
Request List	List of certificates – generally this should be the list of two certificates: ECA certificate and end entity certificate
Signature	Not Required
Extensions	Not Required

5.8 OCSP Response Format

The following table lists fields to be populated by a FiXs® compliant OCSP Responder. Refer to RFC 2560 for detailed syntax.

Field	Expected Value
Response Status	Successful Malformed Request Internal Error Try Later
Response Type	id-pkix-ocsp-basic {1 3 6 1 5 5 7 48 1 1}
Version	V1 (0)
Responder ID	Hash of Responder public key
Produced At	Generalized Time
List of Responses	Each response will contain certificate id; certificate status ² , thisUpdate, nextUpdate ³ ,
Extension	
Nonce	Will be present if nonce extension is present in the request
Signature Algorithm	sha-1WithRSAEncryption {1 2 840 113549 1 1 5}
Signature	Present
Certificates	Applicable certificates issued to the OCSP Responder

² If the certificate is revoked, the OCSP Responder will provide revocation time and revocation reason from CRL entry and CRL entry extension.

³ The OCSP Responder will use thisUpdate and nextUpdate from CA CRL.

6 SECURITY REQUIREMENTS

In addition to the security requirements set forth in this Section the security requirements set forth in the appropriate CP shall be adhered to.

6.1 General Security Requirements

Each Participating FiXs® organization, shall comply with the *FiXs® Security Guidelines*, which specify procedures to prevent unauthorized access or misuse of any FiXs® related component including hardware, software, peripherals, data, system components, network, security keys, credentials and documentation. The *FiXs® Security Guidelines* are hereby incorporated by reference.

6.2 Infrastructure Requirements

The FDS must be capable of supporting HTTPS (SSL) protocol. The Member Organization's network and firewall must be configured to allow HTTPS incoming and outgoing transmissions, with outgoing transmissions being limited to the FTB. In addition, the FDS must be placed within the Organization's firewall. For additional details, please refer to the *FiXs® Technical Architecture and Specifications* and the *FiXs® Security Guidelines*.

6.3 Audit Requirements

Each participating organization is responsible for maintaining complete and up-to-date records of events related to the FiXs®-Certified Network. FiXs®-Certified transactions must be re-creatable from start to finish including identification of the individual(s) performing the transaction. Event logs and transaction audit data will be held indefinitely by each participating organization or until directed otherwise via direction from the FiXs® Program Manager. FiXs® event logs will be maintained in a secure manner and made available for reference from an authorized Government official.

Note that installing the FiXs®-Certified application software ensures compliance with the minimum level of FiXs® auditing requirements.

6.4 Security Authorizations

6.4.1 GENERAL

Authority to access any FiXs®-Certified System component is based upon the required functions associated with the employee's position. Below are functions attributed to specific functions/positions within the FiXs®-Certified Domain that require authorized access.

Note that there can be no duplication in the following roles: 1) the Domain Program Manager cannot serve as either a Facility Enroller or Facility Verifier, and 2) Facility Enrollers and Facility Verifiers must always be separate personnel.

6.4.2 DOMAIN TECHNICAL ADMINISTRATOR

The FiXs®-Certified Facility Domain administrator is authorized to:

- initialize a FiXs®-Certified Domain for enrollment according to the procedures described in Section 4.1.4.1 and authorize the participating organizations initial participants;

- perform all software maintenance and trouble shooting functions. This includes system configuration, network connectivity, database initialization, and installation of Server and client components and peripherals;
- install operating system patches, FiXs®-Certified software and COTS patches; and
- operational and troubleshooting procedures of the local system components, FiXs®-Certified Domain Server FiXs® Clients and FiXs®-Certified Data Repository.

6.4.3 DOMAIN FUNCTIONAL ADMINISTRATOR

The FiXs®-Certified Domain Administrative Enroller is authorized to:

- enroll and train Facility Administrative Enrollers.
- authorize applicants to receive FiXs®-Certified Credentials or to designate other individuals within the facility authorize applicants.

6.4.4 FACILITY DOMAIN ADMINISTRATORS

The FiXs®-Certified Facility Domain Administrator is authorized to enroll, train and certify Authentication Station Operators.

6.4.5 FACILITY ADMINISTRATIVE ENROLLER

The FiXs®-Certified Facility Administrative Enroller authorized to enroll, train and certify Facility Enrollers.

7 LIABILITIES AND INDEMNIFICATION

This Section describes the liabilities associated with participation in the FiXs®-Certified System. In addition, the liabilities and indemnifications stipulated in the appropriate CP shall apply.

7.1 Liability under these Rules

These Rules are made solely and specifically among and for the benefit of Members and Participants. No Person who is not a Member or a Participant shall have any rights, interest or claims under these Rules or be entitled to any benefits under or on account of these Rules, whether as a third party beneficiary or otherwise. A Member or Participant shall have no liability for violation of these Rules to any person who is not a Member or a Participant and the liability of a Member or Participant to any other Member or Participant for any violation of these Rules shall be strictly limited to any remedy or liability provided in Subsection 6.2.

7.2 Liability to Members and Participants

A Member or Participant shall be liable to another Member or Participant for a violation of these Rules to the extent that such liability is provided for under a contract or agreement between individual Members or Participants, all as modified under Subsection 8.1.2 of these Rules, or is provided for under other law, including the SAFETY Act (Pub. Law 107-296) or other applicable federal law.

8 PRIVACY

8.1 Privacy

Member Organizations must comply with the Privacy provisions of the *applicable CPs and FiXs® Policy*, which are hereby incorporated by reference.

8.1.1 BADGE/TOKEN-NOT-PRESENT

In the event that an individual claiming to be a FiXs® Participant requests entry to a FiXs® Member facility but does not have a badge or token, the Authentication Station Operator will ask for the individual's company name and Employee ID number and continue with the normal authentication procedures as described in Section 3.1.1.1.

8.1.2 OTHER EXCEPTIONS

In the event that an individual claiming to be a FiXs® Participant cannot be authenticated by means of a FiXs® Authentication Inquiry/Response, then the individual cannot be admitted as a FiXs® Member and the entry admittance process can no longer be considered a FiXs® Transaction. In such cases, the Relying Party Organization may choose local security processes and procedures to allow or deny admittance. Such exception conditions can include, but are not necessarily limited to: unrecognized participant, unreadable badge/token and inability to reach an employer's FDS (issuer system down, FiXs® Trust Broker down, relying party system down, etc.).

9 FIXS® GOVERNANCE

The Federation for Identity and Cross-Credentialing Systems (FiXs®) is the legal and business entity that manages Member Partnership Agreements and maintains the FiXs® Foundational Documents. FiXs® shall develop membership criteria, voting procedures, and an Operating Rules Committee for the updating of these Operating Rules. The FiXs® Bylaws shall also set forth the protocol for establishing a Board of Directors, Committees and official meetings.

This Section describes the business requirements and responsibilities of the operating entities.

9.1 FiXs® Business Requirements

9.1.1 ESTABLISH FiXs® MEMBER PARTNERSHIP AGREEMENT(S)

An organization seeking membership in FiXs® is required to enter into an agreement with FiXs®. By this agreement, the Member Organization agrees to comply with the FiXs® Operating Rules and other documents incorporated herein by reference.

9.1.2 EFFECT OF RULES

To the extent that individual Member Organizations have agreed to be bound by these Rules and have entered into, or enter into, a contract or agreement between such Members where the performance of the contract or agreement will involve these Rules or credentials issued under these Rules, these Rules will serve as a supplement to the contract or agreement as if these Rules were fully set forth in the contract or agreement. To the extent that there is a conflict between the terms of the contract or agreement and these Rules, between the parties to the contract or agreement, the terms of the contract or agreement shall control. With respect to all other parties these Rules shall control.

9.2 Public Statements

Unless the consent of the Operating Entity is first obtained, Participants shall not in any manner advertise or publish or release for publication any statement regarding the FiXs® project.

10 MEMBERSHIP APPROVAL, AUTHORIZATION TO OPERATE AND COMPLIANCE MONITORING

10.1 Summary

This chapter explains the process for vetting and accepting members and for certifying members to perform roles defined in these Rules. The process for Founding Members is depicted in Figure 9.1. The process for new members is depicted in Figure 9.2.

10.1.1 Membership Process

Founding members in good standing, as defined by the Membership Committee, shall be Member Organizations without going through the membership vetting process. Any other organization that wants to become a FiXs® Member Organization must submit an application to the Membership Committee for review. The applicant must then be vetted by a FiXs®-approved financial institution. The Membership Committee will then make a recommendation to the FiXs® Executive Board with regard to approval or denial of the application.

10.1.2 Certification of Member Organizations

Organizations approved for membership will be eligible to apply for certification for an Authorization to Operate (ATO), and thereby perform roles defined in these rules. Founding Members may receive an ATO certification as a FiXs®-Certified Credential Issuer, Issuer Sponsor, Relying Party, or as a Member Service Provider. Full Members and Network User Associate Members, as defined in the FiXs® Bylaws, may receive ATO certification as a FiXs®-Certified Credential Issuer, Issuer Sponsor or Relying Party. In order to be an ATO certified Member Service Provider, Relying Party, FiXs®-Certified Credential Issuer, or Issuer Sponsor, an applicant must submit an application to the Performance Monitoring and Compliance Subcommittee of the Membership Committee to be assessed by a Third Party Assessor certified by the International Information System Security Certification Consortium and the National Security Agency's InfoSec Assessment Methodology, as recognized by the Department of Defense. The Subcommittee will make a recommendation to the Executive Board about whether to certify an applicant.

10.1.3 Issuing Identifiers to Individuals

A FiXs®-Certified Credential Issuer or Issuer Sponsor is authorized to issue identifiers to individuals as provided for in these Rules.

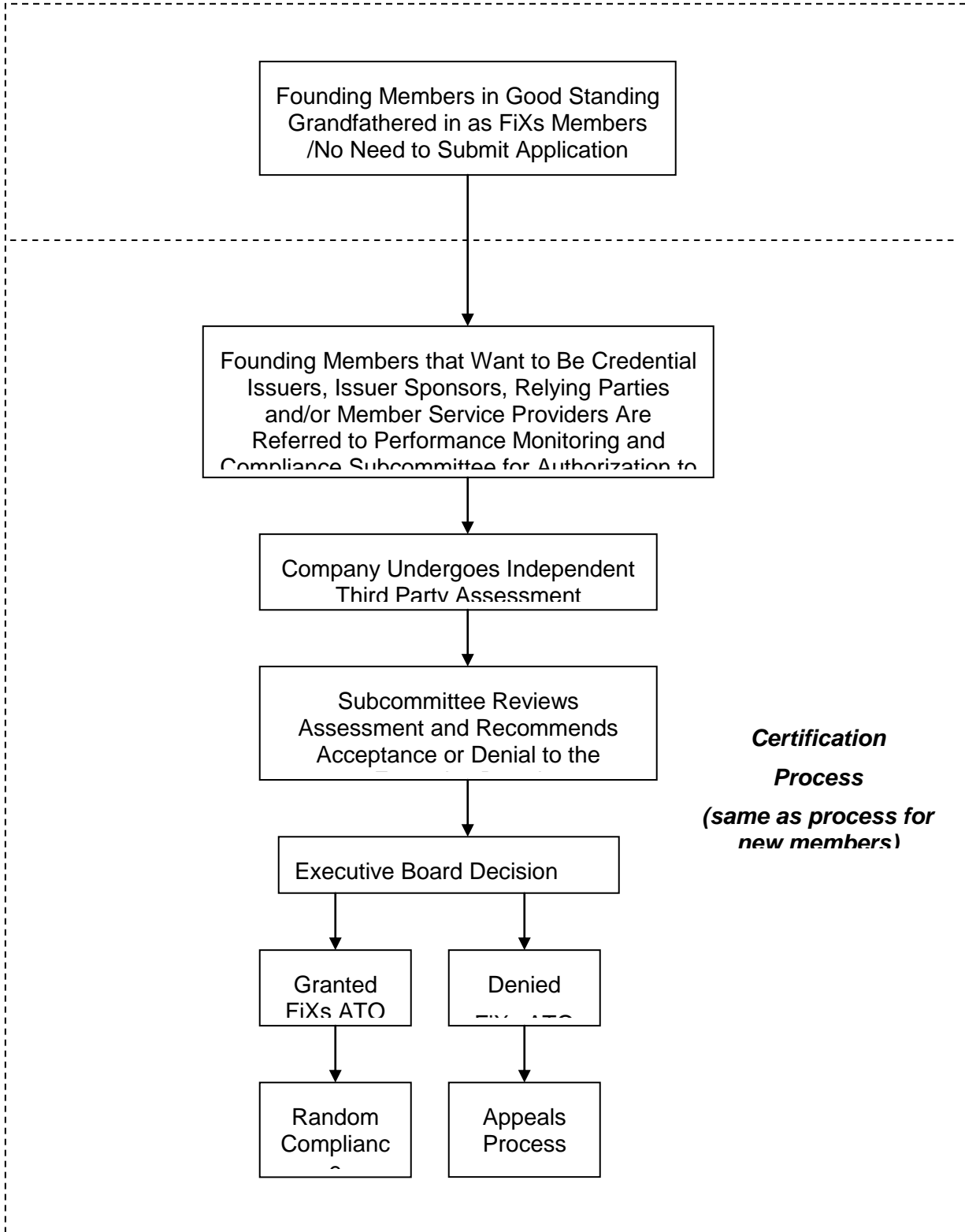
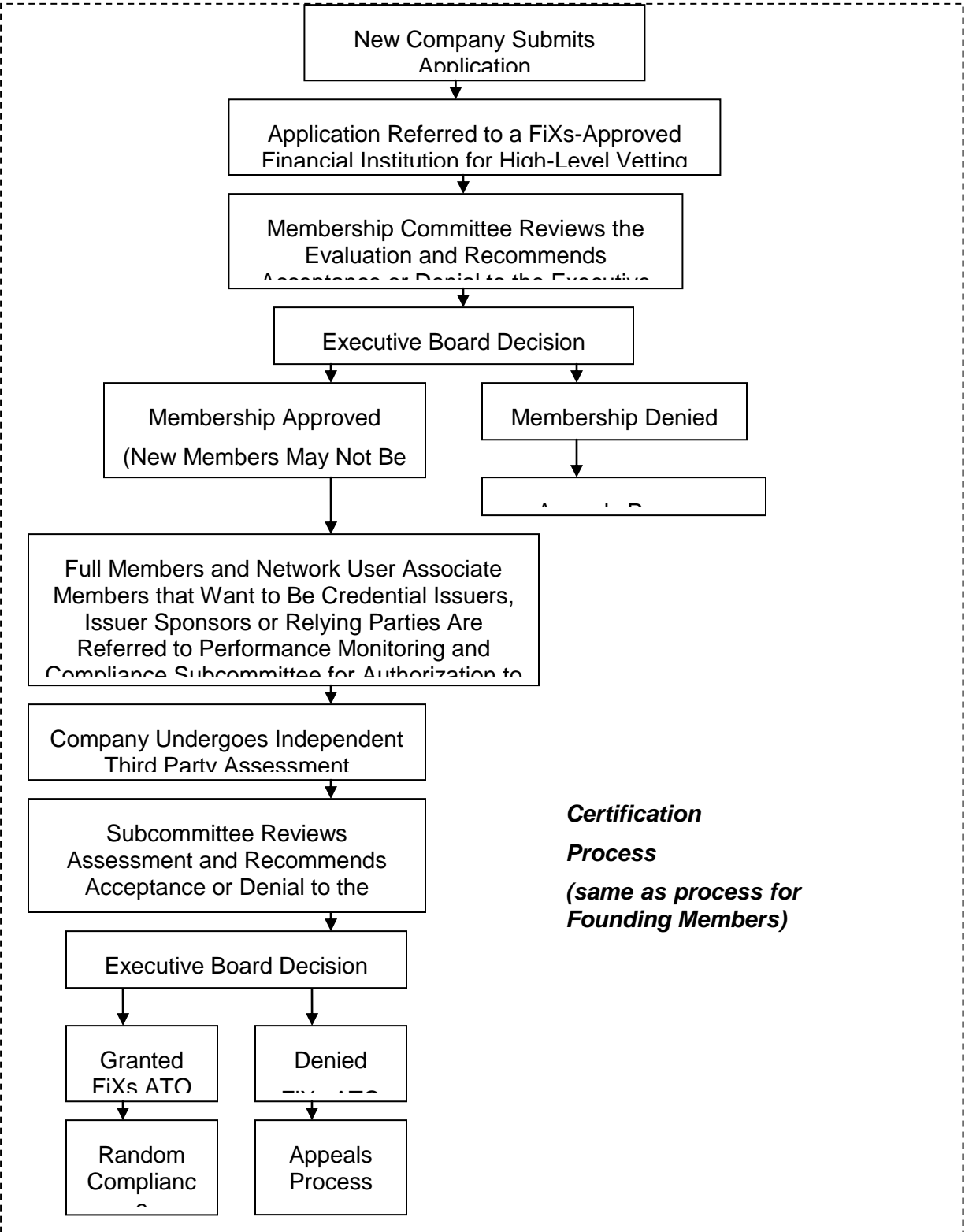


Figure 10.1. Process for Founding Members



Certification Process
(same as process for Founding Members)

Figure 10.2 – Membership Process For New Members

10.2 Vetting Requirements for Member Organizations

This section specifies how organizations may be approved as FiXs® Member Organizations.

10.2.1 APPLICATION FOR MEMBERSHIP

10.2.1.1 Founding Members

Founding Members as defined in the FiXs® Bylaws shall be Member Organizations as long as they remain in good standing, as defined by the Membership Committee.

10.2.1.2 Other Members

Any organization that seeks to become a FiXs® Member Organization, with the exception of Founding Members, must submit an application to the Membership Committee.

10.2.2 MEMBERSHIP REVIEW AND APPROVAL PROCESS

10.2.2.1 Review by a FiXs®-Approved Vetting Organization

When the Membership Committee has received an application for membership, it shall request that the applicant obtain a review by a financial institution approved by FiXs® as a vetting organization. The Approved Vetting Organization shall provide a written report to the Membership Committee warranting that the applicant meets the criteria specified by the Membership Committee for FiXs® Member Organizations. The Committee may opt to waive review of an Association or non-profit organization, an organization that meets federal government bonding requirements, or of any member that joined FiXs® prior to June 1, 2005.

10.2.2.2 Membership Committee Recommendation to the Executive Board

The Membership Committee shall consider the review by the FiXs®-approved vetting organization in recommending approval or denial of a membership application to the FiXs® Executive Board.

10.2.2.3 Decision by the Executive Board

The FiXs® Executive Board shall approve or deny membership applications.

10.2.2.4 Appeals Process

Any applicant whose membership application is denied by the FiXs® Executive Board may appeal the decision to a Review Panel comprised of the FiXs® Officers. The decision of the Review Panel will be final and binding.

10.2.3 CERTIFICATION OF AUTHORIZATION TO OPERATE

10.2.3.1 Authorization To Operate

In order to serve as a FiXs®-Certified Credential Issuer, Issuer Sponsor, Relying Party or a Member Service Provider, a Member Organization must be certified as having Authorization to Operate (ATO) under these Rules.

10.2.3.2 Eligible Organizations

The following organizations may apply for ATO certification:

10.2.3.2.1 Full Members

Full Members may apply to serve as a FiXs®-Certified Credential Issuer, Issuer Sponsor, Relying Party or a Member Service Provider.

10.2.3.3 Application for ATO Certification

Member Organizations that want to be ATO certified, shall submit an application to the Performance Monitoring and Compliance Subcommittee of the Membership Committee.

10.2.3.4 Independent Assessment of Applicants for an ATO

Applicants for ATO certification must be assessed by an Independent Third Party Assessor certified in accordance with the Information System Security Certification Consortium and the National Security Agency's InfoSec Assessment Methodology, which are recognized by the Department of Defense. Independent Third Party Assessors shall use the Compliance Matrix and Check list referenced in Section 9.2.3.5 in assessing the applicant.

10.2.3.5 Performance Metrics and Compliance Assessment Checklist

FiXs® shall develop a matrix of compliance factors from each of the FiXs® policy documents listed below. From this compliance matrix, a series of independent checklists will be developed, each of which may be applied independently or jointly. The FiXs® Executive Committee will approve the checklists. Once approved, a Board-appointed FiXs® Member will negotiate the matrix and checklist(s) with the government. After consensus approval, the independent Third Party Assessors will begin assessments of FiXs® elements using the approved checklists that are designed to assess the applicant's compliance with the following FiXs® documents:

- FiXs® Trust Model;
- FiXs® Policy;
- FiXs® Operating Rules;
- FiXs® Technical Architecture and Specifications; and
- FiXs® Security Guidelines.

The assessing organization shall report to the Performance Monitoring and Compliance Committee, which shall make a recommendation with regard to certification to the FiXs® Executive Committee.

10.2.3.6 FiXs® Executive Committee Action

The FiXs® Executive Board shall either approve or deny ATO certification to the applicant.

10.2.3.7 Appeals Process

Any applicant whose ATO is denied by the FiXs® Executive Committee may appeal the decision to a Review Panel comprised of the FiXs® Officers. The decision of the Review Panel will be final and binding.

10.2.3.8 Random Compliance Assessments

FiXs®-Certified Credential Issuers, Issuer Sponsors and Member Service Providers will be assessed on a random, periodic basis for compliance with FiXs®/DCCIS policies and procedures. Such random compliance assessments will be performed by Independent Third Party Assessors, which shall be conducted using the matrix of compliance factors provided for in 9.2.3.5.

10.2.3.9 Government Compliance Assessment

Federal agencies may assess the entire FiXs® system or any of its components to ensure compliance with its regulations and conformance with the intent of FiXs®/DCCIS policy. These assessments are random, with or without notice, prompted by indicators from the network or other forms of inspection. The government assessments will conform to the assessment format used by Independent Third Party Assessors, using the same FiXs®/government negotiated checklist(s) as provided for in 9.2.3.5.

11 MISCELLANEOUS

11.1 Voluntary Termination of Members

Each FiXs®-Certified Credential Issuer, Issuer Sponsor or Relying Party that voluntarily terminates its processing of transactions shall provided written notice to FiXs® and shall continue to be bound by these Rules with respect to transactions occurring before such termination.

11.2 Amendment to These Rules

These Rules may be amended from time to time in accordance with the procedures set forth in the FiXs® Bylaws; as such Bylaws may be amended from time to time in accordance with its terms.

12 DEFINITIONS

Applicant. An employee or user designated by a Subscriber or Subscribing Party who applies to become a Participant in the FiXs® Network and completes the requirements of the identity proofing process.

Approved Vetting Organization. An organization that has a written agreement with FiXs® to review applications to become a Member Organization.

Audit Control Data Transaction. A transaction to update to the FDS control tables. These updates include new data and modifications regarding new Members and Participants and dis-enrolled Members and Participants.

Authenticate. Relates to a situation where one party has presented an identity and claims to be that identity. Authentication enables another party to gain confidence that the claim is legitimate.

Authentication Client. A personal computer with a standard Web browser for access to the *Authentication Web Server* that contains software and drivers for a bar code reader, a smart card reader, and a fingerprint reader with software. The *Authentication Station Operator* uses the *Authentication Client* to conduct *Authentication Inquiries*.

Authentication Inquiry. A transaction originating from an Authentication Client, which requests the authentication of a credential holder from, the credential holder's home FDS.

Authentication Response. A reply from the FiXs®-Certified Credential Issuer to an Authentication Inquiry that sends a denial or transmits credential information (photo and fingerprints) to the Relying Party.

Authentication Station. The physical area which houses the Authentication Client, Fingerprint Reader, Smart Card Reader and Bar Code Reader and where the Authentication Station Operator performs Authentication Transactions (usually a Visitor Security Station).

Authentication Station Operator. An employee or contractor of the Relying Party who operates the *Authentication Client* and conducts *Authentication Inquiries*.

Authentication Web Server. A standard web server that processes Authentication Inquiries and Responses between the Relying Party's Authentication Client and the FiXs® Trust Broker.

Authentication Web Server Application. The application, which receives and processes the ID credential information from the Client and returns identity information and fingerprint data for matching on the Client.

Badge/Token. A card or other device that holds these bearer's credentials (such as a photo on the face of a badge or a biometric on a bar code) or that holds the "keys" or "pointers" to the credentials that are accessible in a record on a remote system.

Bar Code Reader/Printer. A device that stores and accepts current token barcodes or that prints new barcodes for existing tokens.

Biometric. For the purposes of the FiXs® Operating Rules, a biometric refers to the file of the Participant's scanned fingerprints that are stored at his/her home FDS and retrieved for comparison at the time of an Authentication Inquiry.

Card Management System. FIPS-201 compliant application to manage PIV-compliant card life-cycle management.

Certificate Authority Administrator. A Certificate Authority Administrator (CAA) is an individual who is the responsible party for a CMA. The CAA possesses the private key of the CMA's certificate. The CAA may be collocated with the CMA, but may also perform administration tasks remotely.

Certificate Policy. A Certificate Policy is a document that defines the policy requirements that must be met by any CMA implemented under the policy.

Certificate Practice Statement. A Certificate Practice Statement (CPS) is a document that details the requirements and procedures that are followed by a CA in issuing and maintaining certificates, and the purposes and allowed uses of those certificates.

Certificate. A data record that, at a minimum: (a) identifies the CMA issuing it; (b) names or otherwise identifies its credential holder; (c) contains a public key that corresponds to a private key under the control of the credential holder; (d) identifies its operational period; and (e) contains a certificate unique serial number and is digitally signed by the CMA issuing it. As used in this CPS, the term of "Certificate" refers to certificates that expressly reference the OID of this CMA in the "Certificate Policies" field of an X.509 v.3 certificate.

Certificate Management System. A Certificate Management System (Netscape and RSA Keon) provides a highly scalable, easily deployable certificate infrastructure for supporting encryption, authentication, tamper detection, and digital signatures in networked communications. It is based on open standards and protocols such as Public-Key Cryptography Standard (PKCS) #7, 10, 11, and 12, Secure Sockets Layer (SSL), Lightweight Directory Access Protocol (LDAP), and the X.509 certificate formats recommended by the International Telecommunications Union (ITU). Certificate Management System is highly customizable and configurable, permitting rapid integration with existing client and server software, customer databases, security systems, and authentication procedures.

Certificate Manufacturing Authority (CMA). An entity that is responsible for the manufacturing and delivery of certificates, but is not responsible for identification and authentication of certificate subjects (i.e., a CMA is an entity that is delegated or outsourced the task of actually manufacturing the certificate).

Certificate Practice Statement (CPS). A Certification Practice Statement is a statement of the practices that a certification authority employs in issuing, suspending, revoking, and renewing certificates and providing access to same, in accordance with specific requirements (i.e., requirements specified in this CPS, requirements specified in a contract for services).

Certificate Repository. A certificate repository is a system that holds certificates and information about all active certificates including revocation information.

Certificate Revocation List. A Certificate Revocation List (CRL) is a list of certificates that have been revoked but have not yet expired. A CRL should be digitally signed by the CMA to ensure its validity to relying parties.

Certification Authority. A certification authority is an entity that is responsible for authorizing and causing the issuance of a Certificate. The actual certificate is from the CMA.

Chain of Trust. The trust that is established by a series of agreements that bind Member Organizations, Subscribing Parties, the FiXs® Trust Model, the FiXs® Policy, the FiXs® Operating Rules, the FiXs® Technical Architecture and Specifications, the FiXs® Security Guidelines and other FiXs® Foundational Documents as may be specified from time to time by the FiXs® Board of Directors.

Contractual Agent. An individual, other than an employee, who is sponsored as a user on the FiXs® Network

Credential Holder: A person who (1) is the subject named or identified in a FiXs® credential and associated certificate issued to such person and (2) holds a private key that corresponds to a public key listed in that certificate, and (3) the person to whom digitally signed messages verified by reference to such certificate are to be attributed.

Credential Issuance: The process by which a FiXs® participant (applicant) is provided with a FiXs® Identifier which consists of four steps: 1) validate applicant's need for FiXs® credentials; 2) verify applicant identification; 3) enroll applicant into FiXs® system; and 4) issue or record the Participant's valid FiXs® identifier.

Cross Credential Request Handler Software. Installed on the Authentication Client, this software interfaces with the Authentication Web Server to transmit Authentication Inquiries to the FTB.

Common Access Card (CAC). The official identification card issued to DoD personnel that includes applications for physical and logical access. CAC cards are de facto FiXs® Identifiers.

Defense Cross-Credentialing Identification System (DCCIS).

Digital Camera. A camera capable of capturing digital photos and storing them in file formats as per the *FiXs® Technical Architecture and Specifications*.

Digital Certificate. A digital certificate is electronic information that indicates the identity of the credential holder, the identity of the CMA, the operational period of the certificate, and the public key of the credential holder. The certificate is digitally signed by the issuing CMA to show validity.

Digital Signature. A digital signature is a string of bits associated with a collection of data (e.g., a file, document, message, transaction); this string of bits can only be generated by the holder of a private key, but can be verified by anyone with access to the corresponding public key.

Some algorithms include additional steps (e.g., one-way hashes, timestamps) in this basic process.

Document Verification Service. A service that provides responses to authentication queries from multiple databases to verify identification documents.

Domain Functional Administrator. A Member Organization employee responsible for the enrollment functions and management of the enrollment personnel within the Member Organization.

Domain Technical Administrator. A Member Organization employee who has the authority to perform infrastructure maintenance applications on the Enrollment System and/or the

Authentication System for the FiXs® Program.

Encoding Reader Device. Device that reads and displays the data on the bar code and/or magnetic stripe.

End Entity. An end entity is any individual or server who holds a digital certificate. See also credential holder.

Enrollment. Refers to the creation of a valid FiXs® Participant record in the FiXs® Data Repository.

Enrollment Client. A PC with a standard Web browser for access to the *Enrollment Web Server* that includes software, a bar code reader and a fingerprint reader. The *Facility Enroller* uses the Enrollment Client to capture FiXs® ID data and issue the FiXs® Certified Credential.

Enrollment Web Server. A standard web server that processes enrollments from the Authentication Client and stores the records in the Sponsor's FiXs® Data Repository.

Enrollment Web Application Software. Software that enables entry of new FiXs® Participants into the Sponsor's FiXs® Data Repository.

Exception Processing. Procedures to be followed when a credential or participant cannot be authenticated by the FiXs® System as per the normal procedures described in these Operating Rules.

Facility Administrative Enrollers. Member employees who are responsible for enrolling and terminating new local Facility Enrollers using the Enrollment Operator Maintenance Web Application.

Facility Enrollers. Employees of a FiXs® FiXs®-Certified Credential Issuer or Issuer Sponsor who perform enrollment services for FiXs®-Certified Credential Issuers.

Facility Domain Administrators. Member employees who have the technical and operational responsibilities for individual FiXs® facilities within a domain.

Facility Verifier. Employee of a FiXs® FiXs®-Certified Credential Issuer who has the authority to perform the identity proofing tasks.

Federal Information Processing Standards (FIPS). The federal standards that prescribe specific performance requirements, practices, formats, communications protocols, etc. for hardware, software, data, telecommunications operation, etc. Federal agencies are expected to apply these standards as specified unless a waiver has been granted in accordance to agency waiver procedures.

Federated Model of Trust. An approach to establishing trust that relies on agreements, standards and technologies to make identity portable across disparate organizations.

Federation for Identity and Cross-Credentialing Systems (FiXs®). A non-profit, non-stock 501c(6) trade association incorporated under the laws of the Commonwealth of Virginia. FiXs® is the legal and business entity that manages the FiXs® Network and maintains standards oversight and compliance with established operating principles of the FiXs® Network.

Fingerprint Capturing Device. A device with software for capturing, reading, storing and

comparing fingerprints that is used at enrollment.

Fingerprint Reader. A device used at the Authentication Station to scan the Participant's fingerprint for comparison against the downloaded image.

FiXs® Applicant. See **Applicant**.

FiXs® Certified Credential. An identity credential issued by an approved FiXs® FiXs®-Certified Credential Issuer who has contracted to follow the FiXs® Trust Model and all corollary policies, rules, guidelines and implementation standards for vetting, enrolling, maintaining and revoking identity credentials. The organization has also agreed to allow an independent FiXs® contractor to certify and periodically audit the above conditions for issuance and use of the credential(s).

FiXs®-Certified Credential Issuer. A FiXs® Member that issues FiXs®-Certified Credentials to qualified users for themselves and/or other Sponsors or Subscribing Parties and processes and responds to *Authentication Inquiries*.

FiXs®-Certified Data Repository. Database that stores the identification credentials and audit files associated with the FiXs® Participants of the Member Organization and interfaces to the Member's FDS.

FiXs®-Certified Domain Server (FDS). The platform that contains the enrollment and authentication server software and that interfaces to the FiXs® Data Repository, the FiXs® Trust Broker, the Enrollment Client, and the Authentication Client.

FiXs® Foundational Documents. Documents approved by the FiXs® Board of Directors that form the logical and functional foundation for the FiXs® Network: These documents include, but are not limited to: the Trust Model; the FiXs® Policy; the FiXs® Operating Rules; the FiXs® Implementation Guidelines; the FiXs® Security Guidelines and the FiXs® Technical Architecture and Specifications .

FiXs® Identifier. The unique identifier used to access a Participant's or user's authentication files. For CAC holders, this identifier is the DoD EDI PIN. For non-CAC holders, it is the combination of the FiXs® designated Participant's Member/Organization Code and ID and the Organization-assigned Employee ID number.

FiXs® Member or FiXs® Member Organization. See **Member** or **Member Organization**.

FiXs®-Certified Network. The end-to-end system comprising the physical infrastructure, operating principles and processes to authenticate FiXs® Certified Credentials.

FiXs® Operating Entity. See **Operating Entity**.

FiXs® Participant. See **Participant**.

FiXs® Relying Party. See **Relying Party**.

FiXs®-Certified System. See **Federation for Identity and Cross-Credentialing Systems (FiXs®)/Defense Cross-Credentialing Identification System (DCCIS)**.

FiXs®-Certified Trust Broker (FTB). The intermediary between FiXs®-Certified Credential Issuers and Relying Parties that serves as the *operational intermediary* by processing Authentication Inquiries from Relying Parties to FiXs®-Certified Credential Issuers and Authentication Responses from FiXs®-Certified Credential Issuers to Relying Parties via the

FiXs® Trust Broker.

FiXs® Program Manager. See **Program Manager**.

Government. Federal Government and authorized agencies and entities.

Hardware Security Module. A device is used to encrypt messages that are being sent to the FiXs® Trust Broker and to verify the digital signatures of messages received from the FiXs® Trust Broker.

Home Transaction/Home FDS. Refers to an Authentication Inquiry that is processed at the same DCCIS FDS as the originating Relying Party. In this case, the employee is being authenticated at an employee facility.

Hypertext Transfer Protocol over SSL (HTTPS). HTTPS is the use of Secure Socket Layer (SSL) for data transfer via the World Wide Web. HTTPS uses port 443 instead of HTTP port 80 in its interactions with the lower layer, TCP/IP. SSL uses a 128-bit key size for the RC4 stream encryption algorithm, which is considered an adequate degree of encryption for commercial exchange.

Independent Third Party Assessor. An independent organization certified in accordance with the Information System Security Certification Consortium and the National Security Agency's InfoSec Assessment Methodology that performs assessments for compliance with the Compliance Matrix and Checklist approved by the FiXs® Executive Board.

Identity Proofing. The process by which the Member Organization validates the identity information provided by the applicant at the time of employment.

Internet Engineering Task Force (IETF). The Internet Engineering Task Force is a large open international community of network designers, operators, vendors, and researchers concerned with the evolution of the Internet architecture and the smooth operation of the Internet.

Issuer Sponsor. A FiXs®-Certified Credential Issuer that also sponsors other FiXs®-Certified Credential Issuers and performs some or all of the FiXs®-Certified Credential Issuer duties defined herein that the sponsored FiXs®-Certified Credential Issuer chooses not to perform. In this case, the Issuer Sponsor assumes some or all of the following functions on behalf of the sponsored Issuer: enrollment and issuance; participant records management; FiXs® domain server management; standards and specifications compliance; transaction processing; application integration; and, human resources and security departments coordination.

Key Changeover. The procedure used by an Authority to replace its own private key (e.g., due to compromise) and replace current valid certificates issued with old key.

Key Pair. Means two mathematically related keys, having the properties that (1) one key can be used to encrypt a message that can only be decrypted using the other key, and (2) even knowing one key, it is computationally infeasible to discover the other key.

Member. See **Member Organization**.

Member Organization. A company, agency, or organization that formally applies, and is accepted, for membership in FiXs® on other than a Subscriber basis. This organization may then participate in either a voting or non-voting capacity in the FiXs® governance process to

help set the vision and evolution of the FiXs® Network

Member Partnership Agreement. Legal document signed by Member Organization representatives with the FiXs® Operating Entity, which binds the Member to the FiXs® Operating Rules.

Member Service Provider. A Member Service Provider (MSP) is a FiXs® Founding Member that has agreed to provide equipment procurement and management services to FiXs® Issuers and/or FiXs® Relying Parties. In its role as MSP, designated Founding Members will supply domain servers, enrollment equipment and authentication equipment (including required peripherals) to FiXs® Issuers and Relying Parties that request these services. MSP services include equipment procurement, delivery and deployment; inventory management; equipment certification; equipment configuration; and documentation. Optionally, MSPs may also provide local application development and integration as well as consultative services to FiXs® Issuers and Relying Parties.

Mutual Authentication. Parties at both ends of a communication activity authenticate each other (see authentication).

Object Identifier (OID). An object identifier is a specially formatted number that is registered with an internationally recognized standards organization.

Operational Period of a Certificate. The operational period of a certificate is the period of its validity. It would typically begin on the date the certificate is issued (or such later date as specified in the certificate), and ends on the date and time it expires as noted in the certificate.

Operator Maintenance Web Application Software. Software that enables new local site Enrollment Operators to be created and terminated on the Sponsor's FiXs® Data Repository.

Organizational Code. The unique identifying number that is assigned to a FiXs®-Certified Credential Issuer or Issuer Sponsor.

Out-of-band. Communication between parties utilizing a means or method that differs from the current method of communication (e.g., one party using U.S. Postal mail to communicate with another party where current communication is online communication).

Participant. Refers to the individual employee or subcontractor of a Member Organization that qualifies to participate in the FiXs® System.

Primary Trusted Organization or PTO. The entity that sponsors individual users who are to be issued a FiXs®-Certified Credential in accordance with all FiXs® processes, and policies and that agrees to be responsible for the acts and omissions of its employees or Contractual Agents. A PTO may also be a FiXs®-Certified Credential Issuer, Issuer Sponsor or Subscriber.

Private Key. The key of a key pair used to create a digital signature. This key must be kept a secret.

Program Participants. Collectively, the CMAs, Registrars, Certificate Manufacturing Authorities, Repositories, credential holders, Relying Parties, and Policy Authority authorized to participate in the public key infrastructure defined by this CPS.

Program Manager. A Program Manager (PM) is an employee who manages and

administers the FiXs® program within a Member company or organizational domain. The PM has technical oversight of the program and is responsible for appointing the Domain Technical Administrator and Domain Functional Administrator for the Program.

POC and pilot. Refers to the “Proof-of-Concept” and pilot Phase of the FiXs® System.

Public Key. The key of a key pair used to verify a digital signature. The public key is made freely available to anyone who will receive digitally signed messages from the holder of the key pair. The public key is usually provided via a certificate issued by an CMA and is often obtained by accessing a repository. A public key is used to verify the digital signature of a message purportedly sent by the holder of the corresponding private key.

Public Key Infrastructure. A Public Key Infrastructure (PKI) is a system of policies, CAs, certificates, information repositories, and trusted individuals, that is used to verify and authenticate individuals and servers, and to encrypt and decrypt information exchanged by these individuals and servers.

Registrar. An entity that is responsible for identification and authentication of certificate subjects, and issues certificates.

Relying Party. A FiXs® Member that either relies on the FiXs® credential to authenticate the identity of a Participant and/or initiates authentication inquiries to the FiXs®-Certified Credential Issuer and processes the responses in accordance with FiXs® Operating Rules.

Remote Transaction. Refers to an Authentication Inquiry that is routed through the FiXs® Trust Broker to be processed at a FDS other than of the originating Relying Party.

Repository. A database containing information and data relating to certificates, and a CA, as specified in this CPS.

Responsible Individual. A trustworthy person designated by a Sponsoring Organization to authenticate individual applicants seeking certificates on the basis of their affiliation with the sponsor.

Revoke a Certificate. Means to prematurely end the operational period of a Certificate from a specified time forward.

Secure Sockets Layer. A protocol for providing data security layered between application protocols (such as HTTP, Telnet, NNTP, or FTP) and TCP/IP. This security protocol supports data encryption, server authentication, message integrity, and optional client authentication for a TCP/IP connection.

Smart Card Reader. A device used to read and process data that resides on a smart card.

Smart Card Writer. A device used to write ID data to a smart card and record images for comparison to a scanned image on the Authentication Client.

Sponsor. An organization that uses the services of an Issuer Sponsor to host its FiXs® operations and that sponsors Participants into the FiXs® Network. A Sponsor is responsible for the acts and omission of the Participants that it sponsors. There are two kinds of Sponsors a member and a non-member . In this case, the Issuer Sponsor hosts the Sponsors FDS and processes its FiXs® authentication transactions.

Subscriber or Subscribing Party. A non-member organization that is a Primary Trusted Organization sponsoring individual users to be issued FiXs® Certified Credentials.

Subscribers agree to Terms of Use policies. .

Suspend a Certificate. Means to temporarily suspend the operational period of a Certificate for a specified time period or from a specified time forward.

Terms of Use. The legal agreement between FiXs®, FiXs® Member Organizations, and Subscribing Parties regarding each parties agreement to adhere to FiXs® rules, policies, and procedures for utilizing a FiXs® Certified Credential.

Transaction. Refers to an **Authentication Inquiry**, an **Authentication Response** or an **Audit Control Data Transaction**.

Trusted Adjudicator. An administrator who assigns privileges at the customer level for granting privileges, to include physical or logical access.

Trustworthy System. Means computer hardware, software, and procedures that: (a) are reasonably secure from intrusion and misuse; (b) provide a reasonable level of availability, reliability, and correct operation; (c) are reasonably suited to performing their intended functions, and (d) adhere to generally accepted security procedures.

Valid Certificate. Means a certificate that (1) an Authorized CA has issued, (2) the credential holder listed in it has accepted, (3) has not expired, and (4) has not been revoked. Thus, a certificate is not “valid” until it is both issued by a CA and has been accepted by the credential holder.

13 REFERENCES

The following documents contain information that provides background, examples, or details about the contents of this policy.

Number	Title	Revision	Date
DoD Instruction 8520.2	Public Key Infrastructure (PKI) and Public Key (PK) Enabling http://www.dtic.mil/whs/directives/corres/html/852002.htm		01 April 2004
DoD CIO Memo	Approval of External Public Key Infrastructures http://www.afei.org/documents/20080722DoDEExternalPKIMemo.pdf		22 July 2008
HSPD-12	Policy for a Common Identification Standard for Federal Employees and Contractors, http://csrc.nist.gov/policies/Presidential-Directive-Hspd-12.html		27 Aug 2004
OMB Circular No. A-123	Management Accountability and Control, http://www.whitehouse.gov/omb/circulars/a123/a123.html		Revised June 21, 1995
ABADSG	Digital Signature Guidelines, http://www.abanet.org/scitech/ec/isc/dsgfree.html		1 Aug 1996
FIPS112	Password Usage, http://csrc.nist.gov/publications/index.html		5 May 1985
FIPS140	Security Requirements for Cryptographic Modules, http://csrc.nist.gov/publications/index.html		21 May 2001
FIPS186	Digital Signature Standard, http://csrc.nist.gov/fips/fips186-2.pdf		20 Jan 2000
FIPS201	Personal Identity Verification of Federal Employees and Contractors, http://csrc.nist.gov/publications/index.html		25 Feb 2005
FOIAACT	5 U.S.C. 552, Freedom of Information Act, http://www4.law.cornell.edu/uscode/5/552.html		
FWPP	U.S. Department of Defense Traffic-Filter Firewall Protection Profile for Medium Robustness Environments, http://www.iatf.net	Version 1.4	1 May 2000
IDSPP	Intrusion Detection System Protection, http://www.iatf.net	Version 1.4	4 Feb 2002
ISO9594-8	Information Technology – Open Systems Interconnection – The Directory: Authentication Framework, ftp://ftp.bull.com/pub/OSIdirectoty/ITU/97x509final.doc		1997
ITMRA	40 U.S.C. 1452, Information Technology Management Reform Act, http://www4.law.cornell.edu/uscode/40/1452.html		

Number	Title	Revision	Date
NAG69C	Information System Security Policy and Certification Practice Statement for Certification Authorities,	Revision C	Nov 1999
NS4009	NSTISSI 4009, National Information Systems Security Glossary		Jan 1999
NSD42	National Policy for the Security of National Security Telecom and Information Systems, http://snyside.sunnyside.com/cpsr/privacy/computer_security/nsd_42.txt (redacted version)		5 Jul 1990
PKCS-1	PKCS #1 v2.0: RSA Cryptography Standard, http://www.rsa.com		1 Oct 1998
PKCS-12	Personal Information Exchange Syntax Standard, http://www.rsa.com/rsalabs/pubs/PKCS/html/pkcs-12.html		Apr 1997
ECA CP	<i>US Government Certificate Policy for External Certification Authorities</i>	Version 3.1	30 August 2006
ECAKRP	<i>Key Recovery Policy for External Certification Authorities</i>	Version 1.0	4 Jun 2002
FBCA CP	X.509 Certificate Policy for the Federal Bridge Certification Authority (FBCA), http://www.cio.gov/fpkipa/documents/FBCA_CP_RFC3647.pdf	Version 2.6	16 Aug 2007
ACES CP	<i>Revised Certificate Policy For Access Certificates for Electronic Services</i>		6 May 2004
FPCPF CP	X.509 Certificate Policy for the U.S. Federal PKI Common Policy Framework, http://www.cio.gov/fpkipa/documents/CommonPolicy.pdf	Version 3647-1.1	16 Aug 2007
FPKI-PROF	Federal PKI Certificate and CRL Extensions Profile, http://csrc.nist.gov/pki/		31 May 2002
CCP-PROF	X.509 Certificate and Certificate Revocation List (CRL) Extensions Profile for the Shared Service Providers (SSP) Program	Draft	5 Jan 2006
RFC3647	Internet X.509 Public Key Infrastructure Certificate Policy and Certification Practices Framework, http://www.ietf.org/rfc/rfc3647.txt		Nov 2003
RFC2510	Certificate Management Protocol, Adams and Farrell, http://www.ietf.org/rfc/rfc2510.txt		Mar 1999

Number	Title	Revision	Date
SDN702	SDN.702, Abstract Syntax for Utilization with Common Security Profile (CSP), Version 3 X.509 Certificates and Version 2 CRLs, http://www.armadillo.Huntsville.al.us/Forteza_docs/sdn702_rev3.pdf	Revision 3	31 Jul 1997

The following Federal laws, mandates, and instructions provide the security policy framework for the EI development, operations, and security:

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- Computer Security Act of 1987, January 1988
- Paperwork Reduction Act (Public Law 104-13), May 1995
- Information Technology Management Reform Act of 1996 (Clinger-Cohen Act) (Public Law 104-106), February 1996
- USA PATRIOT Act (Public Law 107-56), October 2001
- E-Government Act of 2002 (Public Law 107-347), December 2002
- Federal Information Security Management Act of 2002 [FISMA] (Public Law 107-347, Title III), December 2002
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- Code of Federal Regulations, Title 5, Administrative Personnel, Part 930, Programs for Specific Positions and Examinations, Subpart C, Sections 930.301 through 930.305, *Employees Responsible for the Management or Use of Federal Computer Systems*, (5 C.F.R. 930.301-305)
- Presidential Decision Directive 63 (PDD-63), *Critical Information Protection*, May 1998
- Homeland Security Presidential Directive (HSPD) 12, *Policy for a Common Identification Standard for Federal Employees and Contractors*, August 27, 2004
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14 REVISION HISTORY

Version	Date	Comments
1.0	September 2005	Initial Issue
1.1		
1.2	January 2007	Pages 23-25: Added "FiXs® Assurance Levels" as Section 2
2.0	March 2007	Added Section 2.1.3.1.1.6 Complete National Agency Check
3.0	September 2007	Changes to Levels-Sections 1-4
3.1	October 1, 2008	Added as an appendix, Logical Operating Rules Version 1.0 as approved by Board vote on October 1, 2008
3.2	November 2008	Updated to comply with requirements of DMDC.
3.3	March 2010	Merges the FiXs® Operating Rules and FiXs® Logical Operating Rules. Updates entire document based on lessons learned from Belvoir deployment.