

UNCLASSIFIED



# **United States Department of Defense X.509 Certificate Policy**

**Version 10.7**

**3 June 2021**

UNCLASSIFIED

UNCLASSIFIED

THIS PAGE INTENTIONALLY LEFT BLANK

UNCLASSIFIED

# TABLE OF CONTENTS

<b>1</b>	<b>Introduction</b> .....	<b>1</b>
1.1	Overview .....	1
1.2	Document Name and Identification .....	2
1.3	PKI Participants .....	3
1.3.1	Certification Authorities .....	4
1.3.2	Registration Authorities .....	4
1.3.3	Subscribers .....	4
1.3.4	Relying Parties .....	5
1.3.5	Other Participants .....	5
1.4	Certificate usage .....	5
1.4.1	Appropriate Certificate Uses .....	5
1.4.2	Prohibited Certificate Uses .....	6
1.5	Policy Administration .....	6
1.5.1	Organization Administering the Document .....	6
1.5.2	Contact Person .....	6
1.5.3	Person Determining CPS Suitability for the Policy .....	6
1.5.4	CPS Approval Procedures .....	6
1.5.5	Waivers .....	6
1.6	Definitions and Acronyms .....	6
<b>2</b>	<b>Publications and Repository Responsibilities</b> .....	<b>8</b>
2.1	Repositories .....	8
2.2	Publication of Certification Information.....	8
2.3	Time or Frequency of Publication .....	8
2.4	Access Controls on Repositories .....	8
<b>3</b>	<b>Identification and Authentication</b> .....	<b>9</b>
3.1	Naming .....	9
3.1.1	Types of Names .....	9
3.1.2	Need of Names to be Meaningful .....	9
3.1.3	Anonymity or Pseudonymity of Subscribers .....	9
3.1.4	Rules for Interpreting Various Name Forms .....	9
3.1.5	Uniqueness of Names.....	9
3.1.6	Recognition, Authentication and Role of Trademarks .....	10
3.2	Initial Identity Validation .....	10
3.2.1	Method to Prove Possession of Private Key.....	10
3.2.2	Authentication of Organization Identity .....	10
3.2.3	Authentication of Individual Identity .....	11
3.2.4	Non-Verified Subscriber Information.....	13
3.2.5	Validation of Authority .....	13
3.2.6	Criteria for Interoperation .....	13
3.3	Identification and Authentication for Re-Key Requests.....	13
3.3.1	Identification and Authentication for Routine Re-Key .....	14
3.3.2	Identification and Authentication for Re-Key After Revocation.....	14
3.4	Identification and Authentication for Revocation Requests.....	14
3.5	Identification and authentication for Key Recovery Requests .....	14
3.5.1	Subscriber Key Recovery Requests .....	14
3.5.2	Third Party Key Recovery Requests.....	15
<b>4</b>	<b>Certificate Life-Cycle Operational Requirements</b> .....	<b>16</b>
4.1	Certificate Application.....	16
4.1.1	Who Can Submit a Certificate Application .....	16
4.1.2	Enrollment Process and Responsibilities.....	16
4.2	Certificate Application Process .....	17
4.2.1	Performing Identification and Authentication Functions .....	17
4.2.2	Approval or Rejection of Certificate Applications.....	17
4.2.3	Time to Process Certificate Applications .....	17
4.3	Certificate Issuance.....	17
4.3.1	CA Actions During Certificate Issuance .....	17

4.3.2	Notification to Subscriber by the CA of Issuance of Certificate .....	17
4.4	Certificate Acceptance .....	17
4.4.1	Conduct Constituting Certificate Acceptance .....	17
4.4.2	Publication of the Certificate by the CA .....	17
4.4.3	Notification of Certificate Issuance by the CA to Other Entities .....	18
4.5	Key Pair and Certificate Usage .....	18
4.5.1	Subscriber Private Key and Certificate Usage .....	18
4.5.2	Relying Party Public Key and Certificate Usage .....	18
4.6	Certificate Renewal .....	18
4.6.1	Circumstance for Certificate Renewal .....	18
4.6.2	Who May Request Renewal .....	18
4.6.3	Processing Certificate Renewal Requests .....	18
4.6.4	Notification of New Certificate Issuance to Subscriber .....	19
4.6.5	Conduct Constituting Acceptance of a Renewal Certificate .....	19
4.6.6	Publication of the Renewal Certificate by the CA .....	19
4.6.7	Notification of Certificate Issuance by the CA to other Entities .....	19
4.7	Certificate Re-Key .....	19
4.7.1	Circumstance for Certificate Re-Key .....	19
4.7.2	Who May Request Certification of a New Public Key .....	19
4.7.3	Processing Certificate Re-Keying Requests .....	19
4.7.4	Notification of New Certificate Issuance to Subscriber .....	19
4.7.5	Conduct Constituting Acceptance of a Re-Keyed Certificate .....	19
4.7.6	Publication of the Re-Keyed Certificate by the CA .....	19
4.7.7	Notification of Certificate Issuance by the CA to Other Entities .....	19
4.8	Certificate Modification .....	19
4.8.1	Circumstance for Certificate Modification .....	20
4.8.2	Who May Request Certificate Modification .....	20
4.8.3	Processing Certificate Modification Requests .....	20
4.8.4	Notification of New Certificate Issuance to Subscriber .....	20
4.8.5	Conduct Constituting Acceptance of Modified Certificate .....	20
4.8.6	Publication of the Modified Certificate by the CA .....	20
4.8.7	Notification of Certificate Issuance by the CA to Other Entities .....	20
4.9	Certificate Revocation and suspension .....	20
4.9.1	Circumstances for Revocation .....	20
4.9.2	Who Can Request a Revocation .....	20
4.9.3	Procedure for Revocation Request .....	21
4.9.4	Revocation Request Grace Period .....	21
4.9.5	Time Within Which CA Must Process the Revocation Request .....	21
4.9.6	Revocation Checking Requirements for Relying Parties .....	22
4.9.7	CRL Issuance Frequency .....	22
4.9.8	Maximum Latency for CRLs .....	22
4.9.9	On-Line Revocation/Status Checking Availability .....	22
4.9.10	On-Line Revocation Checking Requirements .....	22
4.9.11	Other Forms of Revocation Advertisements Available .....	23
4.9.12	Special Requirements Related to Key Compromise .....	23
4.9.13	Circumstances for Suspension and Restoration .....	23
4.9.14	Who Can Request Suspension and Restoration .....	23
4.9.15	Procedure for Suspension and Restoration Requests .....	24
4.9.16	Limits on Suspension Period .....	24
4.10	Certificate Status Services .....	24
4.10.1	Operational Characteristics .....	24
4.10.2	Service Availability .....	24
4.10.3	Optional Features .....	24
4.11	End of Subscription .....	24
4.12	Key Escrow and Recovery .....	25
4.12.1	Key Escrow .....	25
4.12.2	Key Recovery .....	25
<b>5</b>	<b>Facility, Management, and Operational Controls .....</b>	<b>27</b>

5.1	Physical Controls.....	27
5.1.1	Site Location and Construction.....	27
5.1.2	Physical Access.....	27
5.1.3	Power and Air Conditioning.....	28
5.1.4	Water Exposures.....	28
5.1.5	Fire Prevention and Protection.....	28
5.1.6	Media Storage.....	28
5.1.7	Waste Disposal.....	28
5.1.8	Off-Site Backup.....	28
5.2	Procedural Controls.....	29
5.2.1	Trusted Roles.....	29
5.2.2	Number of Persons Required for Task.....	30
5.2.3	Identification and Authentication for Each Role.....	30
5.2.4	Roles Requiring Separation of Duties.....	30
5.3	Personnel Controls.....	30
5.3.1	Qualifications, Experience, and Clearance Requirements.....	30
5.3.2	Background Check Procedures.....	31
5.3.3	Training Requirements.....	31
5.3.4	Retraining Frequency and Requirements.....	31
5.3.5	Job Rotation Frequency and Sequence.....	31
5.3.6	Sanctions for Unauthorized Actions.....	31
5.3.7	Independent Contractor Requirements.....	32
5.3.8	Documentation Supplied to Personnel.....	32
5.4	Audit Logging Procedures.....	32
5.4.1	Types of Events Recorded.....	32
5.4.2	Frequency of Processing Log.....	33
5.4.3	Retention Period of Audit Log.....	33
5.4.4	Protection of Audit Log.....	33
5.4.5	Audit Log Backup Procedures.....	33
5.4.6	Audit Collection System (Internal vs. External).....	34
5.4.7	Notification to Event-Causing Subject.....	34
5.4.8	Vulnerability Assessments.....	34
5.5	Records Archival.....	34
5.5.1	Types of Records Archived.....	34
5.5.2	Retention Period of Archive.....	35
5.5.3	Protection of Archive.....	35
5.5.4	Archive Backup Procedures.....	35
5.5.5	Requirements for Time-Stamping of Records.....	35
5.5.6	Archive Collection System (Internal vs. External).....	35
5.5.7	Procedures to Obtain and Verify Archive Information.....	35
5.6	Key Changeover.....	35
5.7	Compromise and Disaster Recovery.....	36
5.7.1	Incident and Compromise Handling Procedures.....	36
5.7.2	Computing Resources, Software, and/or Data are Corrupted.....	36
5.7.3	Entity Private Key Compromise Procedures.....	36
5.7.4	Business Continuity Capabilities After a Disaster.....	36
5.8	CA or RA Termination.....	37
<b>6</b>	<b>Technical Security Controls.....</b>	<b>38</b>
6.1	Key Pair Generation and Installation.....	38
6.1.1	Key Pair Generation.....	38
6.1.2	Private Key Delivery to Subscriber.....	38
6.1.3	Public Key Delivery to Certificate Issuer.....	39
6.1.4	CA Public Key Delivery to Relying Parties.....	39
6.1.5	Key Sizes.....	39
6.1.6	Public Key Parameters Generation and Quality Checking.....	40
6.1.7	Key Usage Purposes (as per X.509 V3 Key Usage Field).....	40
6.2	Private Key Protection and Cryptographic Module Engineering Controls.....	41
6.2.1	Cryptographic Module Standards and Controls.....	41

6.2.2	Private Key (n out of m) Multi-Person Control .....	41
6.2.3	Private Key Escrow .....	42
6.2.4	Private Key Backup .....	42
6.2.5	Private Key Archival .....	43
6.2.6	Private Key Transfer Into or From a Cryptographic Module .....	43
6.2.7	Private Key Storage on Cryptographic Module .....	43
6.2.8	Method of Activating Private Key .....	43
6.2.9	Method of Deactivating Private Key .....	43
6.2.10	Method of Destroying Private Key .....	43
6.2.11	Cryptographic Module Rating .....	43
6.3	Other Aspects of Key Pair Management .....	43
6.3.1	Public Key Archival .....	43
6.3.2	Certificate Operational Periods and Key Pair Usage Periods .....	44
6.4	Activation Data .....	44
6.4.1	Activation Data Generation and Installation .....	44
6.4.2	Activation Data Protection .....	44
6.4.3	Other Aspects of Activation Data .....	45
6.5	Computer Security Controls .....	45
6.5.1	Specific Computer Security Technical Requirements .....	45
6.5.2	Computer Security Rating .....	45
6.6	Life Cycle Technical Controls .....	45
6.6.1	System Development Controls .....	45
6.6.2	Security Management Controls .....	45
6.6.3	Life Cycle Security Controls .....	46
6.7	Network Security Controls .....	46
6.8	Time Stamping .....	46
<b>7</b>	<b>Certificate, CRL, and OCSP Profile .....</b>	<b>47</b>
7.1	Certificate Profile .....	47
7.1.1	Version Number(s) .....	47
7.1.2	Certificate Extensions .....	47
7.1.3	Algorithm Object Identifiers .....	47
7.1.4	Name Forms .....	47
7.1.5	Name Constraints .....	48
7.1.6	Certificate Policy Object Identifier .....	48
7.1.7	Usage of Policy Constraints Extension .....	48
7.1.8	Policy Qualifiers Syntax and Semantics .....	48
7.1.9	Processing Semantics for the Critical Certificate Policies Extension .....	48
7.2	CRL Profile .....	48
7.2.1	Version Number(s) .....	48
7.2.2	CRL and CRL Entry Extensions .....	48
7.3	OCSP Profile .....	48
7.3.1	Version Number(s) .....	48
7.3.2	OCSP Extensions .....	48
<b>8</b>	<b>Compliance Audit and Other Assessments .....</b>	<b>49</b>
8.1	Frequency and Circumstances of Assessment .....	49
8.2	Identity/Qualifications of Assessor .....	49
8.3	Assessor's Relationship to Assessed Entity .....	49
8.4	Topics Covered by Assessment .....	49
8.5	Actions Taken as a Result of Deficiency .....	49
8.6	Communications of Results .....	50
<b>9</b>	<b>Other Business and Legal Matters .....</b>	<b>51</b>
9.1	Fees .....	51
9.1.1	Certificate Issuance or Renewal Fees .....	51
9.1.2	Certificate Access Fees .....	51
9.1.3	Revocation or Status Information Access Fees .....	51
9.1.4	Fees for Other Services .....	51
9.1.5	Refund Policy .....	51
9.2	Financial Responsibility .....	51

UNCLASSIFIED

9.2.1 Insurance Coverage.....51

9.2.2 Other Assets .....51

9.2.3 Insurance or Warranty Coverage for End-Entities .....51

9.3 Confidentiality of Business Information .....51

9.3.1 Scope of Business Confidential Information .....51

9.3.2 Information Not Within the Scope of Business Confidential Information .....51

9.3.3 Responsibility to Protect Business Confidential Information .....51

9.4 Privacy of Personal Information .....51

9.4.1 Privacy Plan .....51

9.4.2 Information Treated as Private.....52

9.4.3 Information Not Deemed Private.....52

9.4.4 Responsibility to Protect Private Information .....52

9.4.5 Notice and Consent to Use Private Information.....52

9.4.6 Disclosure Pursuant to Judicial or Administrative Process.....52

9.4.7 Other Information Disclosure Circumstances .....52

9.5 Intellectual Property Rights .....52

9.6 Representations and Warranties.....52

9.6.1 CA Representations and Warranties .....52

9.6.2 RA Representations and Warranties .....53

9.6.3 Subscriber Representations and Warranties .....53

9.6.4 Relying Party Representations and Warranties.....53

9.6.5 Representations and Warranties of Other Participants .....53

9.7 Disclaimers of Warranties .....54

9.8 Limitations of Liability .....54

9.9 Indemnities .....54

9.10 Term and Termination .....54

9.10.1 Term.....54

9.10.2 Termination .....54

9.10.3 Effect of Termination and Survival.....54

9.11 Individual Notices and Communications with Participants .....54

9.12 Amendments.....55

9.12.1 Procedure for Amendment.....55

9.12.2 Notification Mechanism and Period .....55

9.12.3 Circumstances Under Which OID Must be Changed .....55

9.13 Dispute Resolution Provisions .....55

9.14 Governing Law.....55

9.15 Compliance with Applicable Law .....55

9.16 Miscellaneous Provisions .....55

9.16.1 Entire Agreement .....55

9.16.2 Assignment .....55

9.16.3 Severability.....55

9.16.4 Enforcement (Attorney’s Fees and Waiver of Rights).....55

9.16.5 Force Majeure .....56

9.17 Other Provisions .....56

**10 Acronyms and Definitions ..... 57**

**11 References ..... 65**

**12 Summary of Changes to DoD X.509 Certificate Policy, Version 10 ..... 66**

UNCLASSIFIED

THIS PAGE INTENTIONALLY LEFT BLANK

UNCLASSIFIED



# 1 INTRODUCTION

The United States Department of Defense (DoD) Public Key Infrastructure (PKI) consists of products and services which provide and manage X.509 certificates for public key cryptography. Certificates identify the entity named in the certificate and bind that entity to a particular public/private key pair.

Programs that carry out or support the mission of the DoD require services such as authentication, confidentiality, technical non-repudiation, and access control. These services are met with an array of network security components such as workstations, guards, firewalls, routers, in-line network encryptors (INE), and trusted database servers. The operation of these components is supported and complemented by use of public key cryptography. As a system solution, the components share the burden of the total system security. The use of public key certificates does not add any security services in a poorly designed or implemented system.

Security management services provided by the PKI include:

- Key Generation/Storage/Recovery;
- Certificate Generation, Update, Renewal, Re-key, and Distribution;
- Certificate Revocation List (CRL) Generation and Distribution;
- Directory Management of Certificate Related Items;
- Certificate token initialization/programming/management;
- Privilege and Authorization Management; and,
- System Management Functions (e.g., security audit, configuration management, archive).

The security of these services is ensured by defining requirements on PKI activities, including the following:

- Subscriber identification and authorization verification;
- Control of computer and cryptographic systems;
- Operation of computer and cryptographic systems;
- Usage of keys and public key certificates by Subscribers and Relying Parties; and,
- Definition of rules to limit liability and to provide a high degree of certainty that the stipulations of this policy are being met.

The reliability of the public key cryptography portion of the security solution is a direct result of the secure and trustworthy operation of an established PKI, including equipment, facilities, personnel, and procedures.

The applicability statements in this policy shall be considered minimum requirements; application accreditors may require higher levels of assurance than specified in this certificate policy for the stated applications.

## 1.1 OVERVIEW

The United States Department of Defense X.509 Certificate Policy (CP) is the unified policy under which a Certification Authority (CA) operated by a DoD component is established and operates. It does not define a particular implementation of PKI, nor the plans for future implementations or future Certificate Policies. It also does not define certificate policy for CAs operated by external entities on behalf of the DoD. This document will be reviewed and updated as described in Section 1.5, based on operational experience, changing threats, and further analysis.

This document defines the creation and management of Version 3 X.509 public key certificates for use in applications requiring communication between networked computer-based systems. Such applications include, but are not limited to, electronic mail; transmission of unclassified and classified information; signature of electronic forms; contract formation signatures; and authentication of infrastructure components such as web servers, firewalls, and directories. The network backbone for these network security products may be unprotected networks such as the Internet or Non-classified Internet Protocol Router Network (NIPRNET), or protected networks such as the Secret Internet Protocol Router Network (SIPRNET).

## 1.2 DOCUMENT NAME AND IDENTIFICATION

This CP defines multiple policies. Each policy is assigned an object identifier (OID) to be asserted in certificates issued by CAs that comply with the policy stipulations related to that OID. The OIDs are registered under the id-infosec arc as:

```
{joint-iso-ccitt(2) country(16) us(840) organization(1) gov(101) dod(2) infosec(1) certificate-policy(11)}
```

id-US-dod-peerInterop	ID::={id-certificate-policy 31}
id-US-dod-internalNPE-112	ID::={id-certificate-policy 60}
id-US-dod-internalNPE-128	ID::={id-certificate-policy 61}
id-US-dod-internalNPE-192	ID::={id-certificate-policy 62}
id-US-dod-mediumNPE*	ID::={id-certificate-policy 17}
id-US-dod-mediumNPE-112	ID::={id-certificate-policy 36}
id-US-dod-mediumNPE-128	ID::={id-certificate-policy 37}
id-US-dod-mediumNPE-192	ID::={id-certificate-policy 38}
id-US-dod-medium*	ID::={id-certificate-policy 5}
id-US-dod-medium-2048*	ID::={id-certificate-policy 18}
id-US-dod-medium-112	ID::={id-certificate-policy 39}
id-US-dod-medium-128	ID::={id-certificate-policy 40}
id-US-dod-medium-192	ID::={id-certificate-policy 41}
id-US-dod-mediumHardware*	ID::={id-certificate-policy 9}
id-US-dod-mediumHardware-2048*	ID::={id-certificate-policy 19}
id-US-dod-mediumHardware-112	ID::={id-certificate-policy 42}
id-US-dod-mediumHardware-128	ID::={id-certificate-policy 43}
id-US-dod-mediumHardware-192	ID::={id-certificate-policy 44}
id-US-dod-admin	ID::={id-certificate-policy 59}
Deprecated	ID::={id-certificate-policy 10}
Deprecated	ID::={id-certificate-policy 20}
Deprecated	ID::={id-certificate-policy 4}

\* These policy OIDs are included for historical purposes and are no longer authorized for use in end entity certificates issued under this CP. The terms Medium, Medium NPE, and Medium-Hardware are still used throughout this CP to refer to groups of policy OIDs with the same requirements as described below.

The stipulations in this CP apply to all policy OIDs except Peer Interop, unless otherwise stated. The Peer Interop OID is only asserted in cross certificates at the direction of the Policy Management Authority.

All references to Medium Assurance apply to Internal NPE, Medium NPE, Medium, and Medium Hardware, certificates at all key length and bit strength levels (as described in *Recommendation for Key Management – Part 1: General* [SP 800-57]), unless otherwise stated. Where a requirement only applies to all NPE OIDs, the requirement will specify NPE. Where a requirement only applies to all Internal NPE OIDs, the requirement will specify Internal NPE. Where a requirement only applies to all Medium NPE OIDs, the requirement will specify Medium NPE. Where a requirement only applies to all Medium Hardware OIDs, it will specify Medium Hardware.

NPE certificates always assert the appropriate Internal NPE or Medium NPE OID. Medium NPE certificates may also assert any Medium or Medium Hardware OID if they meet the corresponding requirements.

Unless otherwise stated, the requirements are identical for the following groups of OIDs:

- Internal NPE-112, Internal NPE-128, and Internal NPE-192;
- Medium NPE-112, Medium NPE-128, and Medium NPE-192;
- Medium-112, Medium-128, and Medium-192;
- Medium Hardware-112, Medium Hardware-128, Medium Hardware-192, and Admin; and,

Internal NPE certificates shall only be issued to NPEs and shall be issued by CAs operated under a separate Root CA dedicated to issuing certificates only under the Internal NPE certificate policy OIDs. If Internal NPE

certificates are issued on networks operated at different classifications, there will be a separate Root CA for each. CAs that issue certificates for the Internal NPE certificate policy OIDs, shall only contain Internal NPE certificate policy OIDs in their certificates.

Certificates asserting the Admin OID shall only be issued to subscribers that have been designated to perform system administrator duties within their component or agency.

In order for DoD to issue credentials that meet the requirements of *Personal Identity Verification (PIV) of Federal Employees and Contractors* [FIPS 201], the DoD PKI also assert the following certificate policy OIDs in appropriate certificates. These OIDs are from *X.509 Certificate Policy For The U.S. Federal PKI Common Policy Framework* [COMMON CP]:

```
id-fpki-common-authentication ID::= {2 16 840 1 101 3 2 1 3 13}
id-fpki-common-cardAuth ID::= {2 16 840 1 101 3 2 1 3 17}
id-fpki-common-piv-contentSigning ID::= {2 16 840 1 101 3 2 1 3 39}
```

The Common Authentication and Common CardAuth policy OIDs are only asserted in certificates issued on DoD PIV. The Common PIV Content Signing policy OID is only asserted in content signing certificates issued to a card management system that uses the private key to sign data included on the DoD PIV as required by [FIPS 201]. The Common CardAuth certificate identifies the PIV card, not the holder of the card. There is no requirement for activation of the private key associated with Common CardAuth certificate.

Certificates issued by DoD CAs to CAs shall contain all OIDs for which the CA issues certificates. Certificates issued by DoD CAs to Online Certificate Status Protocol (OCSP) Responders shall contain all OIDs used in certificates issued by that CA for which the Responder is authoritative.

The DoD PKI may also assert the following certificate policy OIDs in appropriate certificates. These OIDs are further described in [COMMON]:

```
id-fpki-common-policy ID::= {2 16 840 1 101 3 2 1 3 6}
id-fpki-common-hardware ID::= {2 16 840 1 101 3 2 1 3 7}
id-fpki-common-derived-pivAuth ID::= {2 16 840 1 101 3 2 1 3 40}
id-fpki-common-derived-pivAuth-hardware ID::= {2 16 840 1 101 3 2 1 3 41}
```

The Common-Policy and Derived PIV-Auth OIDs shall meet all of the requirements for DoD Medium. The Common Hardware and Derived PIV-Auth Hardware OIDs shall meet all of the requirements for DoD Medium Hardware. There are additional requirements specified for asserting these OIDs in end entity certificates.

### 1.3 PKI PARTICIPANTS

The following sections introduce the PKI and community roles involved in issuing and maintaining key management certificates. These roles are described in detail in Section 5.2.

The DoD Policy Management Authority (PMA) is a body established by the Department to:

- oversee the creation and update of certificate policies, including evaluation of changes requested by DoD Services and Agencies, and plans for implementing any accepted changes; provide timely, responsive, DoD Service and Agency coordination to the DoD CP through a consensus-building process;
- review the Certification Practice Statements (CPS) of DoD operated Certificate Management Authorities (CMA) that offer to provide services to the DoD by analyzing the CPS documents to ensure that the practices of CMAs serving the DoD comply with the DoD Certificate Policies;
- review the results of CMA compliance audits to determine if the CMAs adequately meet the stipulations of approved CPS documents, and make recommendations to the CMAs regarding corrective actions, or other measures that might be appropriate, such as revocation of CMA certificates;

- establish the suitability of non-DoD policies for use within the DoD (for example, in cases where the technical mechanism of "policy mapping" is being considered); and,
- offer recommendations to the DoD Program and Project Managers and DoD Information System Accreditation Authorities regarding the appropriateness of certificates associated with the DoD certificate policies for specific applications.

PMA decision authority resides with the Office of the DoD Chief Information Officer, and its designees. The PMA may delegate authority in appropriate DoD policies and instructions.

Both Certification Authorities (CA) and Registration Authorities (RA) are Certificate Management Authorities (CMA). This policy will use the term CMA when a function may be assigned to either a CA or a RA, or when a requirement applies to both CAs and RAs. The term Registration Authority includes entities such as Local Registration Authorities. The division of Subscriber registration responsibilities between the CA and RA may vary among implementations of this certificate policy. This division of responsibilities shall be described in the CA's CPS.

OCSP Responders that comply with *X.509 Internet Public Key Infrastructure Online Certificate Status Protocol – OCSP* [RFC 6960] are also considered a CMA if issued a DoD PKI certificate.

### 1.3.1 Certification Authorities

A Certification Authority (CA) is an entity authorized by the PMA to create, sign, and issue public key certificates. A CA is responsible for all aspects of the issuance and management of a certificate, including control over the registration process, the identification and authentication process, the certificate manufacturing process, publication of certificates, revocation of certificates, and re-key; and for ensuring that all aspects of the CA services and CA operations and infrastructure related to certificates issued under this policy are performed in accordance with the requirements, representations, and warranties of this policy. A CA may also perform key escrow and support key recovery functions for the PKI. CA is an inclusive term, and includes all types of CAs. CA, as used in this document, includes component parts which may be on the same hardware/software system or an integrated set of hardware and software within the control of a designated security boundary. Examples of components are CA web servers/portals, databases, Key Escrow Systems (KES) and internal directories. All hardware, software and security requirements specified for CAs apply equally to the CA components. Any CA requirement expressed in this policy applies to all CA types and components unless expressly stated otherwise.

In the case of a hierarchical PKI, the CAs must be subordinate to a Root CA (and a maximum of one intermediate CA). The nature of the subordination shall be described in one or more CPSs that have been generated for that hierarchy, and implemented through procedure and certificate extensions. The CA to which a second CA is subordinate is called the second CA's "superior CA."

### 1.3.2 Registration Authorities

A Registration Authority (RA) is an entity that enters into an agreement with a CA to collect and verify Subscribers' identity and information, which is to be entered into public key certificates. The RA must perform its functions in accordance with a CPS approved by the PMA.

RAs register Subscribers, approve certificate issuance, and perform key recovery operations. Not all RAs are authorized to perform all RA functions. An RA designated to perform key recovery operations may be referred to as a Key Recovery Authority (KRA). The specific privileges, duties and responsibilities of individual RAs within the PKI are identified in the appointment documentation.

### 1.3.3 Subscribers

A Subscriber is the entity whose name appears as the subject in a certificate, and who asserts that it uses its key and certificate in accordance with this policy. The targeted DoD PKI Subscribers include, but are not limited to, the following categories of entities that may wish to communicate securely and have demonstrated a bona fide need for a PKI certificate:

- DoD uniformed and civilian personnel, and eligible contractors;
- Executive department and agency personnel, and eligible contractors;

- State governments;
- Foreign government and foreign organization personnel, and eligible contractors; and,
- Workstations, guards and firewalls, routers, in-line network encryptors (INEs), services and applications (e.g., database, FTP, web service), and other infrastructure components. These components must be under the cognizance of humans, who accept the certificate and are responsible for the correct protection and use of the associated private key.

CMAs are technically Subscribers to the PKI; however, the term Subscriber as used in this document refers only to non-CMA entities who request certificates.

### 1.3.4 Relying Parties

A Relying Party is the entity who, by using another's certificate to verify the integrity of a digitally signed message, to identify the creator of a message, or to establish confidential communications with the holder of the certificate, relies on the validity of the binding of the Subscriber's name to a public key. A Relying Party may use information in the certificate (such as certificate policy identifiers) to determine the suitability of the certificate for a particular use.

### 1.3.5 Other Participants

The DoD Relying Parties shall have access to directory services to obtain PKI related information such as the certificates and CRLs.

CAs operating under this policy will require the services of other security, community, and application authorities, such as compliance auditors and attribute authorities. The CA shall identify, in its CPS, the parties responsible for providing such services, and the mechanisms used to support these services. More detail is given in Section 5.2.

## 1.4 CERTIFICATE USAGE

Certificates asserting a policy OID defined in this document shall only be used for transactions related to DoD business. CAs must state this requirement in their CPSs and impose a requirement on Subscribers to abide by this limitation.

### 1.4.1 Appropriate Certificate Uses

The sensitivity of information processed or protected using certificates issued by the DoD PKI varies significantly. As specified in DoD Instruction 8520.03, *Identity Authentication for Information Systems* [DoDI 8520.03], Relying Parties must evaluate the environment and associated threats and vulnerabilities and determine the level of risk they are willing to accept based on the sensitivity or significance of the information being processed.

[DoDI 8520.03] specifies eight levels of credential strength and provides guidance to application owners on where their use is appropriate. Levels A-E pertain to unclassified environments. DoD Medium Assurance levels align to [DoDI 8520.03] credential strengths as follows:

Policy	Level
Medium Assurance	Level C
Medium Hardware	Level D
Common Authentication	Level E

The Peer Interop OID is only used for cross certificates issued to external PKIs that cannot demonstrate comparability to one or more requirements of Medium Assurance and the DoD determines that there is a need for interoperation and acceptance of certificates issued by the external PKIs. Relying Parties need to ensure that it is appropriate to use the certificate issued by a PKI that maps to Peer Interop before enabling systems to accept these certificates.

The Internal NPE OIDs are used for devices that only need to be trusted within the DoD. Internal NPE Root CAs shall not be cross certified with any external PKI.

#### **1.4.2 Prohibited Certificate Uses**

Internal NPE certificates shall not be used by any system or device for communication with or access by users or devices outside the DoD.

### **1.5 POLICY ADMINISTRATION**

#### **1.5.1 Organization Administering the Document**

The PMA is responsible for the definition, revision and promulgation of this policy. The PMA is the Office of the DoD Chief Information Officer, and its designees.

#### **1.5.2 Contact Person**

Questions regarding this CP should be directed to:

DOD PKI PROGRAM MANAGEMENT OFFICE  
9800 SAVAGE RD STE 6699  
FT GEORGE G MEADE MD 20755-6699

#### **1.5.3 Person Determining CPS Suitability for the Policy**

The PMA shall determine the suitability of any CPS to this policy.

#### **1.5.4 CPS Approval Procedures**

The organization owning a CPS shall submit the CPS to the PMA for compliance analysis with this CP at the given level of assurance. The PMA shall commission a compliance analysis study culminating in a written report that provides a summary of areas in which the CPS may not or does not comply with this CP. The compliance analysis shall be performed by an independent party. The PMA shall resolve these discrepancies prior to approving the CPS. The CMA must have a PMA approved CPS and meet all CP/CPS requirements prior to commencing operations. In some cases, the nature of the system function, the type of communications, or the operating environment may require the additional approval of an authorized agency.

The PMA is authorized to make the determination that other (non-DoD) CPs offer appropriately equivalent levels of assurance to the DoD CPs. The PKI may respond to such decisions by methods including but not limited to:

- issuing cross-certificates to other PKIs asserting other policies;
- including certificates issued by other PKIs and asserting other CPs, in DoD OCSP Responders; or,
- recommending CAs asserting other CPs for inclusion in DoD application trust lists.

The PMA shall make information regarding such equivalency determinations widely available to DoD relying parties.

#### **1.5.5 Waivers**

Normally, the PMA shall decide that variation in CMA practice is acceptable under a current policy, or the CMA shall request a permanent change to the policy. Policy waivers may be granted by the PMA to meet urgent, unforeseen operational requirements (such as those associated with ongoing military actions or a similar crisis). When a waiver is granted, the PMA shall post the waiver on a web site accessible by Relying Parties, and shall either initiate a permanent change to the policy, or shall place a specific time limit, not to exceed one year, on the waiver.

### **1.6 DEFINITIONS AND ACRONYMS**

See Section 10.

UNCLASSIFIED

UNCLASSIFIED

## **2 PUBLICATIONS AND REPOSITORY RESPONSIBILITIES**

### **2.1 REPOSITORIES**

Repositories that support a CA in posting information as required by this policy shall:

- maintain availability of the information as required by the certificate information posting and retrieval stipulations of this policy; and,
- provide access control mechanisms sufficient to protect repository information as described in Section 2.4.

The repository that is the primary source of CA certificates and/or CRLs for access by Relying Parties shall be available 24 hours a day, 7 days a week with a minimum overall availability of 99% per year including scheduled down time, which shall not exceed 0.5% per year. Repository availability calculations do not include network down-time.

### **2.2 PUBLICATION OF CERTIFICATION INFORMATION**

Each CA shall provide an on-line repository that is available to Subscribers and Relying Parties and that contains:

- issued encryption certificates that assert this policy;
- a CRL;
- the CA's certificate for its certificate signing key;
- a copy of any cross-certificate issued by or to the CA; and,
- a copy of this policy, including any waivers granted to the CA by the PMA.

Additionally, each CA shall provide an on-line repository that is available to Subscribers with certificates asserting this policy that includes sections of the CPS that describes Subscriber duties and responsibilities.

### **2.3 TIME OR FREQUENCY OF PUBLICATION**

Certificates are published following Subscriber acceptance as specified in Section 4.4 and proof of possession of private key as specified in Section 3.2.1. The CRL is published as specified in Section 4.9.7. All information to be published in the repository shall be published promptly after such information becomes available to the CA. The CA shall specify in its CPS time limits within which it will publish various types of information.

### **2.4 ACCESS CONTROLS ON REPOSITORIES**

Repository information shall be protected from unauthorized modification and disclosure.



## **3 IDENTIFICATION AND AUTHENTICATION**

### **3.1 NAMING**

#### **3.1.1 Types of Names**

All certificates shall use Distinguished Name (DN) name forms for the issuer and subject name fields.

In general, CAs shall not assign DNs. Subscribers shall have non-null DNs assigned to them through their organizations, in accordance with a naming authority (see Section 3.1.2). The CMA shall investigate and correct, if necessary, any name collisions brought to its attention. If appropriate, the CMA shall coordinate with and defer to the appropriate naming authority. Some certificates may additionally assert an alternate name form. See details in Section 7.1.4.

#### **3.1.2 Need of Names to be Meaningful**

Names used within the DoD shall identify the person or object to which they are assigned. The CMA shall ensure that an affiliation exists between the Subscriber and any organization that is identified by any component of any name in its certificate.

When DNs are used, the common name shall represent the Subscriber in a way that is easily understandable for humans. For people, this will typically be a legal name. For equipment, this may be a model name and serial number, or an application process (e.g., Organization X Mail List, Organization Y Multifunction Interpreter).

The DoD will establish one or more authorities for the creation of DNs. A CMA who uses DNs will coordinate with such an authority to determine the proper elements for a given Subscriber.

Each Root CA asserting this policy shall only sign certificates with subject names from within a name-space approved by the PMA. In the case where one CA certifies another, the certifying CA must impose restrictions on the name space authorized in the subordinate CA, which are at least as restrictive as its own name constraints.

When technical means exist for imposing these constraints (such as the name constraints certificate extension), they shall be used. Otherwise, these constraints shall be imposed procedurally or contractually.

#### **3.1.3 Anonymity or Pseudonymity of Subscribers**

A CA shall not issue anonymous certificates. CA certificates shall not contain anonymous or pseudonymous identities.

#### **3.1.4 Rules for Interpreting Various Name Forms**

Rules for interpreting name forms are contained in the applicable certificate profile (see Section 7.1.2), and are established by a naming authority if one exists, or by the CA itself. The naming authority shall be identified contractually or in a CPS.

#### **3.1.5 Uniqueness of Names**

Name uniqueness across the DoD must be enforced. Wherever practical, X.500 DNs allocated from a DoD naming authority shall be used, and the CAs and RAs shall enforce name uniqueness within the X.500 name space, which they have been authorized. When other name forms are used, they too must be allocated such that name uniqueness across the DoD is ensured. A CA shall document in its CPS what name forms will be used, how the CA and RAs will interact with DoD naming authorities, and how they will allocate names within the Subscriber community to guarantee name uniqueness among current and past Subscribers (i.e., if "Joe Smith" leaves a CA's community of Subscribers, and a new, different "Joe Smith" enters the community of Subscribers, how will these two people be provided unique names).

### 3.1.6 Recognition, Authentication and Role of Trademarks

A CMA is not required to issue a name that contains a requested trademark. A CMA shall not issue a certificate knowing that it includes a name that a court of competent jurisdiction has determined infringes the trademark of another. A CMA is not required to issue subsequently a name containing a requested trademark if the CMA has already issued one sufficient for identification within the DoD. A CMA is not obligated to research trademarks or resolve trademark disputes.

## 3.2 INITIAL IDENTITY VALIDATION

The requirements of Section 3.2 apply to all Subscribers including Trusted Roles.

### 3.2.1 Method to Prove Possession of Private Key

In all cases where the Subscriber generates keys, the Subscriber shall be required to prove, to the CMA, possession of the private key, which corresponds to the public key in the certificate request. For signature keys, this may be done by signing the request. For key management keys, the CA or RA may encrypt the Subscriber's certificate in a confirmation request message. The Subscriber can then decrypt and return the certificate to the CA or RA in a confirmation message. The PMA may determine other mechanisms that are at least as secure as those cited here to be acceptable.

In the case where key is generated directly on the Subscriber's token, or in a key generator that benignly transfers the key to the Subscriber's token, then the Subscriber is in possession of the private key at the time of generation or transfer. If the Subscriber is not in possession of the token when the key is generated, then the token shall be delivered to the Subscriber via an accountable method (see Section 6.1.2).

### 3.2.2 Authentication of Organization Identity

Requests for certificates in the name of an organization shall include the organization name, address, and documentation of the existence of the organization. The CMA shall verify this information, in addition to the authenticity of the requesting representative, and that representative's authorization to act in the name of the organization. Use of organization certificates shall be addressed in the appropriate CMA CPS and these CMAs shall preclude the use of organization certificates where individual non-repudiation is required.

Public key certificates shall be issued in the name of an individual whenever possible, and the private keys associated with such certificates shall never be shared with any other person. For those cases where there must be several persons acting in one role or in a group, a certificate may be issued with a Distinguished Name that identifies the group or role. Alternatives for issuing group or role certificates are listed below in order of preference. Less secure options shall only be used if more highly preferred options are not feasible.

- Unique signature and encryption keys and associated certificates containing the group or role name shall be issued to components acting on behalf of or mediating for a group or role (e.g., mail list agents).
- Each individual acting in the same role shall have a separate private signature key and a certificate indicating the role. The individuals acting in the same role or group may share the same encryption certificate and associated private key.
- A signature certificate containing a distinguished name that indicates the role may be issued, and the associated signature private key may be shared by persons acting in that role. (Note that the lack of technically-enforced individual accountability and reliance on procedural mechanisms as described in the requirements below represents a greater security risk to the systems and data protected using these certificates, and must thus be limited to the maximum extent possible. As non-repudiation can no longer be proven, certificates corresponding to private keys held by multiple Subscribers shall not be used for contracting or e-commerce applications.)

A local authority shall authorize the creation of group or role certificates. In these cases:

- The group/role Sponsor shall be responsible for ensuring control of the private key and tracking who possesses the private key at all times, including maintaining an ongoing list of Subscribers who have access to use of the private key and also listing, which Subscriber had control of the key at what

time. The group/role Sponsor shall forward an initial list and periodically forward all updates since the last submission of this list to the local Information System Security Officer (ISSO).

- The ISSO is responsible for periodically reviewing the Sponsor's list with an eye towards identification of anomalies.
- A list of those holding the shared private key will be made available to the CA and RA, upon request.

The procedures for issuing tokens for use in shared key applications must comply with all other stipulations of this policy (e.g., key generation, private key protection, Subscriber obligations).

### 3.2.3 Authentication of Individual Identity

#### 3.2.3.1 In-Person Authentication

The CMA shall ensure that the applicant's identity information and public key are bound adequately. Each CMA shall specify in its CPS procedures for authenticating a Subscriber's identity. Additionally, a CMA shall record the process that was followed for each certificate. At a minimum, process documentation must include:

- the identity of the person performing the identification;
- a signed declaration by the person that verified the identity of the Subscriber as required by this certificate policy;
- the method used to authenticate the individual's identity, including identification type and unique numeric or alphanumeric identifier if appropriate; and,
- the date of the verification.

Additionally, the process documentation must include a declaration of identity. The declaration shall be signed with a handwritten signature or, if a good fingerprint or other adequate biometric is collected and can be linked to the Subscriber identity, a digital signature. Either signature must be applied in the presence of the person performing the identity authentication.

For Medium Assurance, applicant identity proofing requires the applicants to provide at least one federal government official picture identification credential (such as a DoD identification card or passport), or two non-federal government issued official identification credentials, at least one of which must be a photo ID, such as a driver's license. As an alternative to presentation of identification credentials, other mechanisms of equivalent or greater assurance (such as comparison of biometric data to identities pre-verified to the standards of this policy, and obtained via authenticated interaction with secured databases) may be used.

For Medium Assurance, the applicant's identity must be personally verified prior to the applicant's certificate being enabled. The applicant shall appear personally before either:

- A CMA;
- A Trusted Agent (TA) personally approved by the CMA or appointed by name in writing to the CMA by the Commanding Officer/Officer in Charge of the organization which they represent; or,
- A person certified by the US Federal Government or a state government as being authorized to confirm identities such as Notaries Public, that uses a stamp, seal or other mechanism to authenticate their identity confirmation. In addition, the CPS shall specify how notification will be provided that this identity proofing has occurred and how it will be verified that the appropriate official performed the identity proofing.

The applicant shall appear before one of the required identity verifiers no more than 30 days prior to application of the CA's signature to the applicant's certificate, or alternatively, when private keys are delivered to Subscribers via hardware tokens, the Subscribers shall personally appear before the CMA or CMA's TA to obtain their tokens or token activation data.

For Medium Hardware, a CMA shall personally verify the applicant's identity prior to the applicant's certificate being enabled. There are two ways to meet this requirement:

- The applicant shall personally appear before the CMA, or a TA personally approved by the CMA or appointed by name in writing to the CMA by the Commanding Officer/Officer in Charge of the organization which they represent, at any time prior to application of the CA's signature to the applicant's certificate; or,
- When private keys are delivered to Subscribers via hardware tokens, the Subscribers shall personally appear before the CMA to obtain their tokens or token activation data.

Minors and others not competent to perform face-to-face registration alone shall be accompanied by a person already certified by the PKI, who will present information sufficient for registration at the level of the certificate being requested, for both himself and the person accompanied.

### 3.2.3.2 Electronic Authentication

Medium Assurance certificates may be issued on the basis of electronically authenticated (using a current, valid DoD PKI signature certificate and associated private key) Subscriber requests, subject to the following restrictions:

- The assurance level of the new certificate shall be the same or lower than the assurance level of the existing certificate used as an authentication credential;
- The DN of the new certificate shall be identical to the DN of the signature certificate. Information in the new certificate that could be used for authorization shall be identical to that of the signature certificate;
- The expiration date of the new certificate will be no later than the next required in-person authentication date associated with the signature certificate;
- The in-person authentication date associated with a new certificate will be no later than the in-person authentication date associated with the signature certificate used for authentication; and,
- The validity period of the new certificate shall not be greater than the maximum validity period requirements of this CP for that type of certificate.

Electronically authenticated issuance is similar to certificate re-key (Section 3.3) except that the new certificate is valid concurrently with the existing certificate, but with a potentially different expiration date.

For certificates that assert one of the Derived PIV-Auth policy OIDs, the issuer shall be approved as a Derived PIV Credential Issuer as specified in [SP 800-79] "Guidelines for the Authorization of Personal Identity Verification Card Issuers (PCI) and Derived PIV Credential Issuers (DPCI)". The issuer shall verify that the request for issuance was submitted by an authorized agency employee.

For certificates that assert the Derived PIV-Auth Hardware OID, the applicant shall appear in person before an RA who verifies the identity of the applicant by performing a one-to-one comparison of the biometrics stored on the applicants Common Access Card (CAC). The biometric samples used in the comparison shall be retained as part of the RA's audit records. The RA shall then observe the applicant authenticate with the PIV-Auth certificate on the applicants CAC.

### 3.2.3.3 Authentication of Component Identities

Some computing and communications components (e.g., routers, firewalls) will be named as certificate subjects.

Except for Internal NPE certificates, the component must have a human PKI Sponsor as described in Section 5.2.1.4. The PKI Sponsor is responsible for providing the CMA, or to CMA approved TAs as described in Sections 3.2.3.1 and 5.2.1.4, correct information regarding:

- equipment identification;
- equipment public keys;
- equipment authorizations and attributes (if any are to be included in the certificate); and,
- contact information to enable the CMA to communicate with the PKI Sponsor when required.

The CMA, or their TAs, shall authenticate the validity of any authorizations to be asserted in the certificate, and shall verify source and integrity of the data collected to an assurance level commensurate with the

certificate being requested. Acceptable methods for performing this authentication and integrity checking include, but are not limited to:

- Verification of digitally signed messages sent from PKI Sponsors (using certificates of equivalent or greater assurance than that being requested).
- In person registration by the PKI Sponsor, with the identity of the PKI Sponsor confirmed in accordance with the requirements of Section 3.2.3.1.

In the case a PKI Sponsor is changed, the new PKI Sponsor shall review the status of each NPE under his/her sponsorship to ensure it is still authorized to receive certificates.

For Internal NPE certificates, the process shall ensure that:

- An authorized, privileged individual approves connecting the NPE to a DoD network or infrastructure;
- The DoD network or infrastructure authenticates the NPE submitting the certificate request and facilitates authentication of the NPE to the issuing CA; and,
- Equipment authorizations, attributes and the specific certificate profile to be applied are validated by the DoD network or infrastructure component that authenticates the request and are provided to the issuing CA in an authenticated manner.

### **3.2.4 Non-Verified Subscriber Information**

All information in certificates that assert a policy OID from [Common] shall be verified.

Subscriber email address included in the certificate (e.g., in the subject alternative name extension) that do not assert a policy OID from [Common] may be unverified.

### **3.2.5 Validation of Authority**

Certificates that contain explicit or implicit organization affiliations shall be issued only after ascertaining the Subscriber has the authorizations to act on behalf of the organization in the implied capacity. Examples of these include certificates that assert the Admin OID, group and role certificates, and CA and RA certificates.

### **3.2.6 Criteria for Interoperation**

The US Federal Public Key Infrastructure (FPKI) Certificate and CRL Profile, FPKI Directory Interoperability Profile, and DoD X.509 CP shall form a basis for assessing interoperability with the DoD PKI. However, the decision to cross certify with an external PKI shall reside with the PMA as specified in Section 1 of this CP.

External PKIs that do not demonstrate comparability to the requirements identified in this CP for at least Medium Assurance shall only be cross certified using the Peer Interop OID. Discrepancies between the operations of a cross certified CA and the requirements identified in this CP shall be documented in a Memorandum of Agreement.

## **3.3 IDENTIFICATION AND AUTHENTICATION FOR RE-KEY REQUESTS**

The longer and more often a key is used, the more susceptible it is to loss or discovery. This weakens the assurance provided to a Relying Party that the unique binding between a key and its named Subscriber is valid. Therefore, it is important that a Subscriber periodically obtains new keys and re-establishes its identity. Re-keying a certificate means that a new certificate is created that is identical to the old one, except that the new certificate has a new, different public key (corresponding to a new, different private key); a different serial number; and may be assigned a different validity period.

Subscriber certificates may be rekeyed on the basis of existing Subscriber certificates as long as:

- The validity period of the new certificate would not exceed the maximum time period between face-to-face authentications as required by 3.3.1;
- The maximum life of the new certificate shall not exceed 3 years;
- The assurance level of the new certificate is the same or less than the certificate used to authenticate the request; and,

- All other Subscriber information remains valid.

If the above is not true, the Subscriber must meet the initial identity validation requirements listed in Section 3.2.

Any CA who includes authorizations in a certificate, including any conveyed or implied by the subject's DN, shall document in its CPS the mechanisms used to notify the CA of the withdrawal of authorization. Withdrawal of authorization shall result in revocation of the old certificate and, if necessary, the issuance of a new certificate with a different public key and the appropriate authorizations.

Subscribers' signature private keys and certificates have a maximum lifetime of three years. Subscriber key management certificates have a maximum lifetime of three years; use of Subscriber key management private keys for decryption is unrestricted.

CA key lifetimes are provided in Section 5.6.

### 3.3.1 Identification and Authentication for Routine Re-Key

Re-key requests for certificates can be authenticated on the basis of current valid Subscriber certificates as long as the validity period of the new certificate does not extend beyond the periodic in-person authentication requirements listed in the table below.

Policy	In-Person Authentication Requirement
Internal NPE	No Stipulation
Medium Assurance	Every 9 years
Medium Hardware	Every 4 years

CA identity shall be validated through use of the current signature key or initial registration process. Identity shall be established through initial registration process at least once every three years.

### 3.3.2 Identification and Authentication for Re-Key After Revocation

Re-key after revocation for all assurance levels shall be done using initial identity validation in accordance with Section 3.2.

## 3.4 IDENTIFICATION AND AUTHENTICATION FOR REVOCATION REQUESTS

Revocation requests must be authenticated (see Section 4.9.3). Requests to revoke a certificate may be authenticated using that certificate's associated private key, regardless of whether or not the private key has been compromised.

## 3.5 IDENTIFICATION AND AUTHENTICATION FOR KEY RECOVERY REQUESTS

### 3.5.1 Subscriber Key Recovery Requests

Subscribers are authorized to request the recovery of their own escrowed keys. For automated self-recovery of private keys, the CA shall authenticate the Subscriber using a valid DoD PKI certificate at the same or higher strength policy OID as the policy OID in the certificate associated with the escrowed key.

Alternatively, the Subscriber may establish his or her identity to an RA, either through the use of a valid DoD PKI certificate at the same or higher strength policy OID as the policy OID in the certificate associated with the escrowed key, or by using the procedures specified in Section 3.2.3.1 for authenticating identity. If the authentication is not based on digital signatures that can be verified using public key certificates, the RA or TA shall personally verify the identity of the Subscriber prior to initiating the key recovery request.

If a TA is performing the requestor validation, the TA shall establish his or her identity to the RA based on a digital signature that can be verified using the public key certificate of the TA. The TA shall use a valid DoD

PKI certificate at the same or higher strength policy OID as the policy OID in the certificate associated with the escrowed key.

### **3.5.2 Third Party Key Recovery Requests**

Entities other than the Subscribers (third parties) may request recovery of escrowed keys. All third-party recovery requests shall be coordinated through an RA or TA, who shall validate the authorization of the requestor in consultation with organization management and/or legal counsel, as appropriate.

The requestor shall establish his or her identity to the RA or TA, either through the use of a valid DoD PKI certificate at the same or higher strength policy OID as the policy OID in the certificate associated with the escrowed key, or by using the procedures specified in Section 3.2.3.1 for authenticating identity. If the authentication is not based on digital signatures that can be verified using public key certificates, the RA or TA shall personally verify the identity and authority of the requestor prior to initiating the key recovery request.

If a TA is performing the requestor validation, the TA shall establish his or her identity to the RA based on a digital signature that can be verified using the public key certificate of the TA. The TA shall use a valid DoD PKI certificate at the same or higher strength policy OID as the policy OID in the certificate associated with the escrowed key.

## 4 CERTIFICATE LIFE-CYCLE OPERATIONAL REQUIREMENTS

### 4.1 CERTIFICATE APPLICATION

It is the intent of this policy to identify the minimum requirements and procedures that are necessary to support trust in the PKI, and to minimize imposition of specific implementation requirements on CMAs, Subscribers, and Relying Parties.

The applicant and the CMA must perform the following steps when an applicant applies for a certificate:

- establish and record identity of Subscriber (per Section 3.2);
- obtain a public/private key pair for each certificate required;
- establish that the public key forms a functioning key pair with the private key held by the Subscriber (per Section 3.2.1); and,
- provide a point of contact for verification of any roles or authorizations requested.

These steps may be performed in any order that is convenient for the CMA and Subscribers, and that does not defeat security; but all must be completed prior to certificate issuance. All communications among CMAs supporting the certificate application and issuance process shall be authenticated and protected from modification using mechanisms commensurate with the requirements of the data to be protected by the certificates being issued (i.e., communications supporting the issuance of Medium Assurance certificates shall be protected using Medium Assurance certificates, or some other mechanism of equivalent strength). Any electronic transmission of shared secrets shall be protected (e.g., encrypted) using means commensurate with the requirements of the data to be protected by the certificates being issued.

CAs implementing this CP shall certify other CAs (to include cross-certification) only as authorized by the DoD PMA.

Requests by CAs for CA certificates to be issued from a DoD Root CA shall be submitted to the DoD PMA using the contact provided in Section 1.5, and shall be accompanied by a CPS written to the format of the *Internet X.509 Public Key Infrastructure Certificate Policy and Certification Practices Framework* [RFC 3647].

Prior to issuing a CA certificate from an Internal NPE Intermediate CA, the issuing organization shall inform the contact in Section 1.5.1 of the CA name.

The DoD PMA will evaluate the submitted CPS for acceptability. The PMA may require an initial compliance audit, performed by parties of the PMA's choosing, to ensure that the CMA is prepared to implement all aspects of the submitted CPS, prior to the DoD PMA authorizing the CMA to issue and manage certificates asserting the DoD CPs.

CAs shall only issue certificates asserting DoD CPs upon receipt of written authorization from the DoD PMA, and then may only do so within the constraints imposed by the PMA or its designated representatives.

#### 4.1.1 Who Can Submit a Certificate Application

Certificate application may be submitted to the CA by the Subscriber, or an RA/LRA on behalf of the Subscriber.

#### 4.1.2 Enrollment Process and Responsibilities

Upon receiving the request, the CMA or TA will:

- verify the identity of the requestor; and,
- verify the authority of the requestor and the integrity of the information in the certificate request.

While the Subscriber may do most of the data entry, it is still the responsibility of the CMA to verify that the information is correct and accurate. This may be accomplished either through a system approach linking databases containing personnel information or through personal contact with the program's attribute



authority (as put forth in the CMA's CPS). If databases or other sources are used to confirm Subscriber attributes, then these sources and associated information sent to a CMA must be protected from unauthorized modification to a level commensurate with the level of assurance specified for the certificates conveying the Subscriber attributes. CMAs shall verify all authorization and other attribute information received from an applicant. In most cases, the RA is responsible for verifying applicant data, but if CAs accept applicant data directly from applicants, then the CA is responsible for verifying the applicant data. Information regarding attributes shall be verified via those offices or roles that have authority to assign the information or attribute. Relationships with these offices or roles shall be established prior to commencement of CA duties, and shall be described in a CPS.

## **4.2 CERTIFICATE APPLICATION PROCESS**

It is the responsibility of the CA and RA to verify that the information in certificate applications is accurate. Their CPSs shall specify procedures to verify information in certificate applications.

### **4.2.1 Performing Identification and Authentication Functions**

The identification and authentication of the Subscriber shall be done by the CA, RA, LRA, or a TA on behalf of these parties.

### **4.2.2 Approval or Rejection of Certificate Applications**

The certificate application may be rejected for various reasons such as inaccurate information or lack of mission need to provide a certificate to the Subscriber. The CA, RA, LRA, or TA may reject a certificate application. The CA, RA, LRA, or TA shall work with the appropriate parties to resolve the problem.

A certificate application shall not be considered accepted until the CA has accepted the application and decided to issue a certificate.

### **4.2.3 Time to Process Certificate Applications**

No stipulation.

## **4.3 CERTIFICATE ISSUANCE**

### **4.3.1 CA Actions During Certificate Issuance**

The CA shall authenticate a certificate request, ensure that the public key is bound to the correct Subscriber, obtain a proof of possession of the private key, then generate a certificate, and provide the certificate to the Subscriber. The CA shall publish the certificate to a repository in accordance with Section 4.4.2.

### **4.3.2 Notification to Subscriber by the CA of Issuance of Certificate**

The Subscriber shall be notified of certificate issuance.

## **4.4 CERTIFICATE ACCEPTANCE**

### **4.4.1 Conduct Constituting Certificate Acceptance**

For in-person authentication, the Subscriber signature on a certificate acceptance and acknowledgment of responsibilities form (e.g., DD Form 2842) shall constitute acceptance of the certificate. The Subscriber signature shall be collected before a CA allows a Subscriber to make effective use of its private key.

For electronic authentication, the Subscriber request to obtain new certificates and subsequent failure to object to the certificate or its contents shall constitute acceptance of the certificate.

### **4.4.2 Publication of the Certificate by the CA**

CA certificates and Subscriber encryption certificates shall be published to the appropriate repositories.

### **4.4.3 Notification of Certificate Issuance by the CA to Other Entities**

No stipulation.

## **4.5 KEY PAIR AND CERTIFICATE USAGE**

### **4.5.1 Subscriber Private Key and Certificate Usage**

The Subscriber shall not use the signature private key after the associated certificate has been revoked or has expired.

The Subscriber may continue to use the decryption private key solely to decrypt previously encrypted information after the associated certificate has been revoked or has expired.

The Subscriber shall use the private key for DoD business only. The use of the private key shall be further limited in accordance with the key usage extension in the certificate.

If the extended key usage extension is present and implies any limitation on the use of the private key, those constraints shall also be observed. For example, the OCSP Responder private key shall be used only for signing OCSP responses.

### **4.5.2 Relying Party Public Key and Certificate Usage**

The Relying Parties shall ensure that a public key in a certificate is used only for the purposes indicated by the key usage extension, if the extension is present.

If the extended key usage extension is present and implies any limitation on the use of the certificate, those constraints shall also be followed.

The Relying Parties shall ensure that a public key in a certificate is used only for the purposes indicated by the certificate policies the certification path is valid for. If the certification path is not valid for any policy (e.g., certificate policies extension is absent in a certificate in the certification path or there is no policy OID common to all the certificates in the certification path after considering policy mapping), the Relying Party shall reject the certificate.

## **4.6 CERTIFICATE RENEWAL**

Renewing a certificate means creating a new certificate with the same name, key, and authorizations as the old one, but with an extended validity period and new serial number. Certificates may be renewed as a means of CRL size management. A certificate may be renewed if the public key has not reached the end of its validity, the associated private key has not been compromised, and the Subscriber name and attributes are correct. Thus, a CMA may choose to implement a three-year re-key period with an initial issue and two annual renewals. The old certificate need not be revoked, but must not be further re-keyed, renewed, or updated.

### **4.6.1 Circumstance for Certificate Renewal**

A certificate may be renewed if the certificate has not reached the end of its validity period, the certificate has not been revoked, the total life times of certificates issued (including the new certificate) for that public key do not exceed 3 years, and the Subscriber name and attributes are still correct.

### **4.6.2 Who May Request Renewal**

The Subscriber, RA, or LRA may request the renewal of a Subscriber certificate.

### **4.6.3 Processing Certificate Renewal Requests**

The renewal process could be akin to the initial certificate issuance process described in Sections 3.2.3.1 and 4.3. Alternatively, the certificate could be automatically renewed by the CA based on an electronically authenticated request from the Subscriber as per Section 3.2.3.2.

#### **4.6.4 Notification of New Certificate Issuance to Subscriber**

See Section 4.3.2.

#### **4.6.5 Conduct Constituting Acceptance of a Renewal Certificate**

See Section 4.4.1.

#### **4.6.6 Publication of the Renewal Certificate by the CA**

See Section 4.4.2.

#### **4.6.7 Notification of Certificate Issuance by the CA to other Entities**

See Section 4.4.3.

### **4.7 CERTIFICATE RE-KEY**

Re-keying a certificate means creating a new certificate with the same name and authorizations as the old one, but with a new key, extended validity period and new serial number. After certificate rekey, the old certificate may or may not be revoked, but must not be further re-keyed, renewed, or modified.

#### **4.7.1 Circumstance for Certificate Re-Key**

A certificate shall be re-keyed when it can no longer be renewed as described in Section 4.6.1.

A revoked certificate shall not be re-keyed.

Requirements for CA re-key are described in Section 5.6.

#### **4.7.2 Who May Request Certification of a New Public Key**

The Subscriber, RA, or LRA may request the re-key of a Subscriber certificate.

#### **4.7.3 Processing Certificate Re-Keying Requests**

The re-key process could be akin to the initial certificate issuance process described in Section 4.3. Alternatively, the certificate could be automatically re-keyed by the CA based on an electronically authenticated request from the Subscriber as per Section 3.2.3.2.

#### **4.7.4 Notification of New Certificate Issuance to Subscriber**

See Section 4.3.2.

#### **4.7.5 Conduct Constituting Acceptance of a Re-Keyed Certificate**

See Section 4.4.1.

#### **4.7.6 Publication of the Re-Keyed Certificate by the CA**

See Section 4.4.2.

#### **4.7.7 Notification of Certificate Issuance by the CA to Other Entities**

See Section 4.4.3.

### **4.8 CERTIFICATE MODIFICATION**

Modifying (updating) a certificate means creating a new certificate that has the same or a different key, a different serial number, and differs in one or more other fields, from the old certificate. For example, a CA may choose to modify a certificate of a Subscriber who gains an authorization. The old certificate may or may not be revoked, but must not be further re-keyed, renewed, or modified.

The CA shall authenticate the validity of any authorizations using the same means as for the initial authorization or means of equal or greater security and assurance.

#### **4.8.1 Circumstance for Certificate Modification**

A certificate may be modified if some of the information other than the DN, such as the e-mail address or authorizations, has changed.

If the Subscriber name has changed, the Subscriber shall undergo the initial registration process.

#### **4.8.2 Who May Request Certificate Modification**

The Subscriber, RA, or LRA may request the modification of a Subscriber certificate. Any change in authorizations must be validated by the CA, RA, or LRA.

#### **4.8.3 Processing Certificate Modification Requests**

The certificate modification process could be akin to the initial certificate issuance process described in Section 4.3. Alternatively, the certificate could be automatically modified by the CA based on an electronically authenticated request from the Subscriber as per Section 3.2.3.2. However, any change in authorizations must be validated by the CA, RA, or LRA.

#### **4.8.4 Notification of New Certificate Issuance to Subscriber**

See Section 4.3.2.

#### **4.8.5 Conduct Constituting Acceptance of Modified Certificate**

See Section 4.4.1.

#### **4.8.6 Publication of the Modified Certificate by the CA**

See Section 4.4.2.

#### **4.8.7 Notification of Certificate Issuance by the CA to Other Entities**

See Section 4.4.3.

### **4.9 CERTIFICATE REVOCATION AND SUSPENSION**

#### **4.9.1 Circumstances for Revocation**

A certificate shall be revoked when the binding between the subject and the subject's public key defined within a certificate is no longer considered valid. Examples of circumstances that invalidate the binding are:

- Identifying information or affiliation components of any names in the certificate become invalid;
- Privilege attributes asserted in the Subscriber's certificate are reduced;
- The Subscriber can be shown to have violated the stipulations of its Subscriber agreement;
- The private key is suspected of compromise; and,
- The Subscriber or other authorized party (as defined in the CMA's CPS) asks for his/her certificate to be revoked.

Whenever any of the above circumstances occur, the associated certificate shall be revoked and placed on the CRL. In addition, if it is determined subsequent to issuance of new certificates that a private key used to sign requests for one or more additional certificates may have been compromised at the time the requests for additional certificates were made, all certificates authorized by directly or indirectly chaining back to that compromised key shall be revoked. Revoked certificates shall be included on all new publications of the CRL until the certificates expire.

#### **4.9.2 Who Can Request a Revocation**

Within the PKI, a CMA may summarily revoke certificates within its domain. A written notice and brief explanation for the revocation shall subsequently be provided to the Subscriber. The RA can request the revocation of a Subscriber's certificate on behalf of any authorized party as specified in its CPS.

### 4.9.3 Procedure for Revocation Request

Except for Internal NPE certificates, any format that is used to request a revocation shall identify the certificate to be revoked, explain the reason for revocation, and allow the request to be authenticated (e.g., digitally or manually signed). The CA may act on a properly authenticated revocation request without involvement of any individual if the request is:

- Received from an authorized, authoritative data source;
- Authenticated using a certificate issued to the same subscriber at the same or higher assurance level; or,
- Authenticated by a specific CMA authorized individual.

Otherwise, a CMA action is required for revocation. Authentication of certificate revocation requests is important to prevent malicious revocation of certificates by unauthorized parties.

An Internal NPE CA may revoke a certificate based on an authenticated revocation request received directly from the Subscriber or an authorized administrator for the local network without the need for another CMA action to approve the revocation request.

If revocation requests are to be executed based on an authenticated request from an authoritative data source, the CA shall ensure that:

- The CA verifies the integrity and source of the data at a level commensurate with the certificate or certificates being revoked;
- The process implements an independent time-based limit on the number of revocation requests to be executed. This limit shall be set based on historical data. If the limit is exceeded, the system shall cease processing revocation requests from that source until a CMA verifies there is no malicious activity; and,
- The data source and associated information sent to the CA shall be protected from unauthorized modification to a level commensurate with the level of assurance specified for the certificates to be revoked.

If the revocation is being requested for reason of key compromise or suspected fraudulent use, then the Subscriber's and the RA's revocation request must so indicate. If a RA performs this on behalf of a Subscriber, a formal, signed message format known to the CA shall be employed. All requests shall be authenticated; for signed requests from the certificate subject, or from a RA, verification of the signature is sufficient.

Upon receipt of a revocation request from the Subscriber or another authorized party, the CMA shall authenticate the revocation request. The CMA may, at its discretion, take reasonable measures to verify the need for revocation. If the revocation request appears to be valid, the CMA shall revoke the certificate.

For PKI implementations using hardware tokens, Subscribers leaving organizations that sponsored their participation in the PKI shall surrender to their CMA (through any accountable mechanism) all cryptographic hardware tokens that were issued under the sponsoring organization prior to leaving the organization. The token shall be zeroized or destroyed promptly upon surrender and shall be protected from malicious use between surrender and zeroization or destruction.

### 4.9.4 Revocation Request Grace Period

There is no grace period for revocation under this policy; Subscribers and authorized PKI entities shall request the revocation of a certificate as soon as the need for revocation comes to their attention.

### 4.9.5 Time Within Which CA Must Process the Revocation Request

The CA shall process all revocation requests within one hour of receipt. CRL issuance frequency is addressed in Section 4.9.7.

#### 4.9.6 Revocation Checking Requirements for Relying Parties

Use of revoked certificates could have damaging or catastrophic consequences in certain applications. The matter of how often new revocation data should be obtained is a determination to be made by the Relying Party and the system accreditor. If it is temporarily infeasible to obtain revocation information, then the Relying Party must either reject use of the certificate, or make an informed decision to accept the risk, responsibility, and consequences for using a certificate whose authenticity cannot be guaranteed to the standards of this policy. Such use may occasionally be necessary to meet urgent operational requirements.

#### 4.9.7 CRL Issuance Frequency

CRLs are periodically issued and posted to a repository, even if there are no changes or updates to be made, to ensure timeliness of information. CRLs may be issued more frequently than required; if there are circumstances under which a CA will post early updates, these shall be spelled out in its CPS. CAs shall ensure that superseded CRLs are removed from the repository upon posting of the latest CRL.

The DoD CAs shall conform to the CRL issuance frequency described below:

CA	Normal CRL Issuance Periodicity	Maximum CRL Issuance Latency for the Reason of Key or CA Compromise
Medium Assurance Root CA	At least once every 28 days	Within 6 hours of notification
Medium Assurance Signing CA (128 bits and below)	At least once each day	Within 18 hours of notification
Internal NPE Intermediate CA	At least once every 90 days	Within 18 hours of notification

CAs shall make public a description of how to obtain revocation information for the certificates they publish, and an explanation of the consequences of using dated revocation information. This information shall be given to Subscribers during certificate request or issuance, and shall be readily available to any potential Relying Party.

In the case of any DoD PKI CA revocation the DoD Root CA shall notify all cross certified or DoD approved external PKIs within the constraints of the table above.

#### 4.9.8 Maximum Latency for CRLs

The CRL shall be posted upon generation, but within no more than four hours after generation. Furthermore, a new CRL shall be published no later than the time specified in the nextUpdate field of the most recently published CRL for the same CRL Scope.

#### 4.9.9 On-Line Revocation/Status Checking Availability

CAs and Relying Party client software may optionally support on-line status checking. Since the DoD operates in some environments that cannot accommodate on-line communications, all CAs shall be required to support CRLs. Client software using on-line revocation checking need not obtain or process CRLs.

OCSP Responders shall function in a manner that ensures that:

- Accurate and up-to-date information from the authorized CA is used to provide the revocation status; and,
- Revocation status responses provide authentication and integrity services commensurate with the security strength specified as acceptable in Table 4 of [SP 800-57].

#### 4.9.10 On-Line Revocation Checking Requirements

Relying Parties may optionally use on-line status checking. Since the DoD operates in some environments that cannot accommodate on-line communications, all CAs shall be required to support CRLs. Client software using on-line revocation checking need not obtain or process CRLs.

DoD relying parties (including CMAs) shall only rely upon OCSP Responders approved in accordance with the requirements of Section 9.6.5.

#### **4.9.11 Other Forms of Revocation Advertisements Available**

A CA may also use other methods to publicize the certificates it has revoked. Any alternative method must meet the following requirements:

- The alternative method must be described in the CA's approved CPS;
- The alternative method must provide authentication and integrity services commensurate with the assurance level of the certificate being verified; and,
- The alternative method must meet the issuance and latency requirements for CRLs stated in Sections 4.9.7 and 4.9.8.

#### **4.9.12 Special Requirements Related to Key Compromise**

A CMA using reason codes must have the ability to transition any reason code to compromise. Stipulations for CRL issuance due to key compromise are provided in Section 5.7.3.

#### **4.9.13 Circumstances for Suspension and Restoration**

CAs may support certificate suspension and restoration.

Certificate suspension occurs by marking the certificate as revoked with a reason code of "On Hold." These certificates shall be placed on the next CRL and shall remain on the CRL until the certificate is restored or the certificate expires.

A certificate is restored when the RA reinstates it.

Certificates that are marked as revoked with a reason code other than "On Hold" shall not be restored. The CA shall provide technical mechanisms to enforce this requirement.

##### **4.9.13.1 Circumstances for Suspension**

For CAs that support suspension, a certificate shall be suspended when there is reason to believe that the binding between the subject and the subject's public key defined within a certificate is not currently valid, or there may be reason to question the security of the private key, but additional research is necessary to fully determine the status. An example of a circumstance that may lead to certificate suspension: a Subscriber is known or believed to have the token containing the private key associated with the certificate and fails to appear at an expected duty location.

Suspension requests may be made for other purposes.

##### **4.9.13.2 Circumstances for Restoration**

For CAs that support restoration, a suspended certificate may be restored when the binding between the subject and the subject's public key defined within a certificate is determined to still be valid or the question of the security of the private key is resolved and there was no compromise of the private key. An example of a circumstance that may result in certificate restoration is, a Subscriber returns to duty in possession of the token and verifies it was always under appropriate control.

#### **4.9.14 Who Can Request Suspension and Restoration**

##### **4.9.14.1 Who Can Request Suspension**

Any member of the Subscriber's or PKI Sponsor's chain of command is authorized to request suspension of certificates.

##### **4.9.14.2 Who Can Request Restoration**

Any member of the Subscriber's or PKI Sponsor's chain of command is authorized to request restoration of certificates.

## **4.9.15 Procedure for Suspension and Restoration Requests**

### **4.9.15.1 Procedure for Suspension Request**

Any format that is used to request a suspension shall identify the certificate to be suspended, explain the reason for suspension, include an estimated time for the resolution of the suspension, and allow the request to be authenticated (e.g., digitally or manually signed). Digital authentication shall use a certificate at the same or higher assurance level as the certificate to be suspended.

Prior to approving a certificate suspension, the RA shall verify the suspension request, to include authenticating the identity of the requestor and verifying the requestor's authority to request revocation and the validity of the reason for the suspension request.

Once approved by the RA, the CA shall mark the certificate as suspended on the issuing CA which shall place its serial number and other identifying information on a CRL.

If the RA suspends a certificate because there is reason to suspect compromise of the private key, the maximum latency for CRL issuance shall be the latency specified for Reason of Key or CA Compromise in Section 4.9.7.

### **4.9.15.2 Procedure for Restoration Request**

Any format that is used to request a restoration shall identify the certificate to be restored, explain the reason for restoration, and allow the request to be authenticated (e.g., digitally or manually signed) at a level commensurate with the certificate being restored. The RA shall validate all restoration requests to ensure that they have appropriate justification and were requested by an authorized entity to prevent malicious restoration of compromised certificates by unauthorized parties.

The private key associated with any suspended certificate shall not be used to authenticate the identity of the restoration requestor.

## **4.9.16 Limits on Suspension Period**

Suspended certificates shall be periodically reviewed to determine if the reason for suspension remains valid. The RA that approved a suspension request shall review suspended certificates monthly or at the time specified in the suspension request, whichever is shorter. The RA shall then revoke any certificate where the suspension has exceeded the original requested suspension period and for which the requestor has not submitted an extension request following the same procedures as the initial request.

## **4.10 CERTIFICATE STATUS SERVICES**

The DoD PKI does not support Certificate Status Authorities such as Simple Certificate Validation Protocol (SCVP).

### **4.10.1 Operational Characteristics**

Not applicable. The DoD PKI does not use Certificate Status Authorities such as SCVP.

### **4.10.2 Service Availability**

Not applicable. The DoD PKI does not use Certificate Status Authorities such as SCVP.

### **4.10.3 Optional Features**

Not applicable. The DoD PKI does not use Certificate Status Authorities such as SCVP.

## **4.11 END OF SUBSCRIPTION**

Subscription is synonymous with the certificate validity period. The subscription ends when the certificate is revoked or expired.



## **4.12 KEY ESCROW AND RECOVERY**

The DoD PKI supports key escrow and recovery for private keys associated with encryption certificates. The DoD PKI does not support key recovery using key encapsulation techniques.

### **4.12.1 Key Escrow**

#### **4.12.1.1 Circumstances for Key Escrow**

Section 6.2.3 specifies the types of certificates that are allowed to be escrowed.

#### **4.12.1.2 Escrowing Keys**

Escrowed keys shall be stored in a protected KES that is a component of the CA. All requirements for storage and transfer of private keys shall apply to the process of escrowing private keys.

Escrowed keys shall be maintained within the KES for a minimum of one year after the expiration of the certificate associated with the key. If the certificate associated with the key is renewed or modified without changing the key, the escrowed key shall be maintained within the KES for a minimum of one year after the expiration date of the renewed or modified certificate associated with the key. Escrowed keys shall be archived as described in Section 5.5. KES security audit requirements related to the CA and RA are specified in Section 5.4.

#### **4.12.1.3 Notification of Key Escrow to Subscriber**

As part of the key escrow process, all Subscribers for whom the PKI escrows keys shall be notified that the private keys associated with their encryption certificates are being escrowed.

### **4.12.2 Key Recovery**

The DoD PKI supports key escrow and recovery of an escrowed key where access to that key is a necessary condition for access to data. The DoD PKI does not provide a data recovery service, nor is this CP intended to change the authority of any individual or organization to access data.

Recovery of private keys associated with previously held encryption certificates may be performed as part of any certificate issuance process to ensure that earlier encryption private keys are available to Subscribers. During delivery, escrowed keys shall be protected against disclosure to any party except the requestor and the trusted roles responsible for the recovery.

#### **4.12.2.1 Circumstances for Key Recovery**

Escrowed keys may be recovered to support the recovery of encrypted data for business, law enforcement or other requirements. In general, escrowed keys are recovered for the following purposes:

- The original copy of the escrowed key has been lost or damaged and the Subscriber cannot access data encrypted with the corresponding public key;
- The certificate is to be re-keyed and the earlier issued private keys are recovered to be included on the token containing the re-keyed certificate; or,
- An authorized third party (other than the PKI Sponsor) requires access to data encrypted with the corresponding public key.

#### **4.12.2.2 Who May Request Key Recovery**

Subscribers may request recovery of their own escrowed keys either through an RA or via an automated process direct to the CA.

RAs may request recovery of escrowed keys on behalf of the Subscriber as part of the re-key or re-issuance process.

Key recovery may also be requested by the following third parties:

- Subscriber's manager, supervisor, or superior officers;

- Law enforcement or counterintelligence agents;
- Agents of U.S. Federal Courts; and,
- Any person or organization authorized by the DoD PKI PMA via an authenticated communication.

#### 4.12.2.3 Processing Key Recovery Requests

Subscribers may electronically submit requests on their own behalf directly to an RA. Such requests shall be signed by a private key associated with a DoD PKI issued Identity or Signature certificate asserting the same or stronger policy OID as that of the certificate associated with the escrowed key.

Subscribers may use automated means to request their escrowed keys from the KES if they possess a valid DoD PKI issued Identity or Signature certificate asserting the same or stronger policy OID as that of the certificate associated with the escrowed key. The KES shall only provide escrowed keys to Subscribers via an automated means after performing all of the following:

- Verifying that the authenticated identity of the requestor is the same as the Subscriber associated with the escrowed keys being requested;
- Ensuring that the escrowed keys are being sent only to the authenticated Subscriber associated with the escrowed keys; and,
- Ensuring that the recovered keys are encrypted during transmission in accordance with Section 6.2.6 and that activation data used to protect access to the recovered keys is in accordance with Section 6.4.1.

Subscribers may submit a request, signed by hand, to either an RA or TA. The RA or TA shall validate the identity of the requestor. TAs shall forward the request via a digitally signed mechanism to an RA. The RA shall authenticate the information in the request.

Third party requestors shall submit requests to either an RA or a TA. Paper requests shall be hand-signed; electronic requests shall be digitally signed by a private key associated with a valid DoD PKI issued Identity or Signature certificate asserting the same or stronger policy OID. The RA or TA shall validate the identity of the requestor and the RA shall determine the authority of the requestor to recover the escrowed key in consultation with organization management and/or legal counsel, as appropriate. TAs shall forward information via a digitally signed and encrypted email to the RA. Third party key recovery operations shall be performed under the control of two RAs.

Third party requestors shall be bound, by legal and policy means, to the key protection and other provisions of this CP.

Once an RA has received and validated a key recovery request, the RA shall initiate the key recovery. The RA shall authenticate to the KES using a mechanism commensurate with the cryptographic strength of the strongest key stored in the KES.

All copies of recovered keys shall be continuously protected using mechanisms at least commensurate with the level of the data the key provides access to or protects by the recovering trusted roles during the recovery and delivery to the authenticated and authorized requestor. Recovered keys shall be protected during transmission in accordance with Section 6.2.6 and activation data used to protect access to the recovered keys shall be in accordance with Section 6.4.1.

#### 4.12.2.4 Notification of Key Recovery to Subscriber

Subscribers shall be notified of all attempts to recover escrowed keys based on a request using a Subscriber's private key.

There is no requirement to notify the Subscriber of key recovery requests made by parties other than the Subscriber.

#### 4.12.2.5 Notification of Key Recovery by the CA to Other Entities

There is no requirement to notify other entities of key recovery requests.

## 5 FACILITY, MANAGEMENT, AND OPERATIONAL CONTROLS

### 5.1 PHYSICAL CONTROLS

CAs and OCSP Responders shall consist of equipment dedicated to these CMA functions. It shall not perform non-CMA related functions.

Unauthorized use of CMA equipment is forbidden. Physical security controls shall be implemented that protect the CMA hardware and software from unauthorized use. CMA cryptographic modules shall be protected against theft, loss, and unauthorized use.

#### 5.1.1 Site Location and Construction

The location and construction of the facility that will house CMA equipment and operations shall be in accordance with DoD and local policy for protecting information of the same value or classification as the material that will be protected by the public key certificates issued or managed there. See *Safeguarding Communications Security (COMSEC) Facilities and Material* [CNSSI 4005] for information on protecting classified information.

#### 5.1.2 Physical Access

Internal NPE CAs and cryptographic modules shall be provided with physical security controls equivalent to those provided to other high value assets (e.g., domain controllers) on the network.

All other CA and OCSP Responder equipment and cryptographic modules shall always:

- be protected from unauthorized access; and,
- require the presence of at least two trusted role personnel (see Section 5.2.1) for any access to the CA or the OCSP Responder equipment or to the CA or the OCSP Responder cryptographic module.

RA equipment shall be protected from unauthorized access while the cryptographic module is installed and activated. The RA shall implement physical access controls to reduce the risk of equipment tampering even when the cryptographic module is not installed and activated. These security mechanisms shall be commensurate with the level of threat in the RA equipment environment.

When not in use, removable CA and OCSP Responder cryptographic modules, and any activation information used to access or enable the cryptographic modules or equipment, shall be placed in locked containers sufficient for housing equipment and information commensurate with the classification, sensitivity, or value of the information being protected by the certificates issued by the CA. Activation data shall either be memorized or recorded and stored in a manner commensurate with the security afforded the cryptographic module, and shall not be stored with the cryptographic module.

For other than Internal NPE CAs, a security check of the facility housing CA and OCSP Responder equipment shall occur prior to leaving the facility unattended. The check shall verify that:

- the equipment is in a state appropriate to the current mode of operation (e.g., that cryptographic modules are in place when “open,” and secured when “closed”);
- any security containers are properly secured;
- physical security systems (e.g., door locks, vent covers) are functioning properly; and,
- the area is secured against unauthorized access.

A person or group of persons shall be made explicitly responsible for making such checks. When a group of persons are responsible, a log identifying the person performing a check at each instance shall be maintained.

If the facility is not continuously attended, the last person to depart shall initial a sign-out sheet that indicates the date and time, and asserts that all necessary physical protection mechanisms are in place and activated.

Facilities housing CA and OCSP Responder equipment shall, if unattended for periods greater than 24 hours, be protected by an intrusion detection system. Additionally, a check shall be made at least once every 24 hours to ensure that no attempts to defeat the physical security mechanisms have been made.

Current NSA policy requires that a hardware cryptographic module used for issuing certificates whose keys will protect classified information is classified at the level of that information, both when in use and when not in use. When not in use, it must be stored in a container approved for classified cryptographic storage, where access is allowed only to authorized CMA operators as defined in Section 5.2.

### **5.1.3 Power and Air Conditioning**

The facility, which houses the CA equipment, shall be supplied with power and air conditioning sufficient to create a reliable operating environment.

The CA equipment shall have or be provided with sufficient back-up power to execute a standard shutdown (including locking out input, finishing any pending actions, and recording the state of the equipment) before lack of primary power or air conditioning causes the CA equipment to cease functioning. Subscribers or Relying Parties with needs for long operation hours or short response times may contract with a CA for additional requirements for backup power.

Power and air conditioning support to the repository that are the primary source of CA certificates and/or CRLs for access by relying parties shall be sufficient to ensure that availability requirements of Section 2.1 are met.

### **5.1.4 Water Exposures**

CA equipment shall be installed such that it is not in danger of exposure to water, e.g., on tables or elevated floors. Moisture detectors shall be installed in areas susceptible to flooding. CA operators who have sprinklers for fire control shall have a contingency plan for recovery should the sprinklers malfunction or cause water damage outside of the fire area.

### **5.1.5 Fire Prevention and Protection**

A description of the CMA's approach for recovery from a fire disaster shall be included in the Disaster Recovery Plan required by Section 5.7.4.

### **5.1.6 Media Storage**

Media shall be stored so as to protect it from accidental damage (e.g., water, fire, electromagnetic). Media that contains sensitive information (e.g., identified in Section 9.4, security audit, archive, backup information) shall be protected from unauthorized access.

### **5.1.7 Waste Disposal**

Normal office waste shall be removed or destroyed in accordance with local policy. Media used to collect or transmit sensitive information (e.g., personal information identified in Section 9.4, security audit, archive, backup information) shall be destroyed, such that the information is unrecoverable, prior to disposal.

### **5.1.8 Off-Site Backup**

System backups, sufficient to recover from system failure, shall be made on a periodic schedule. For CAs that are continuously operated (for periods of one week or longer), full system backups shall be performed once a week. For intermittently operated CAs, the full system backup shall be performed each time the system is turned on or once a week, whichever is less frequent. At least one backup copy shall be stored at an offsite location (separate from the CA equipment). Only the latest backup need be retained. The backup shall be stored at a site with physical and procedural controls commensurate to that of the operational CA system.

## 5.2 PROCEDURAL CONTROLS

### 5.2.1 Trusted Roles

A trusted role is one whose incumbent performs functions that can introduce security problems if not carried out properly, whether accidentally or maliciously. The people selected to fill these roles must be diligent and trustworthy as described in the next section. The functions performed in these roles form the basis of trust in the entire PKI. Two approaches are taken to increase the likelihood that these roles can be successfully carried out. The first approach is to ensure that the person filling the role is trustworthy and properly trained. The second is to distribute the functions of the role among several people, so that any malicious activity requires collusion. Requirements regarding the design and configuration of the technology to avoid mistakes and counter inappropriate behavior are described in Section 6.

The primary trusted roles defined by this policy are the CA, the OCSP Responder, and the RA.

#### 5.2.1.1 Certificate Authority

All certificates asserting a DoD certificate policy must be issued by a CA facility operating under the control of a CA. The responsible person or body (e.g., board of directors) identified as the facility's CA must be named, and made available during compliance audits.

Any CA who asserts a policy identifier defined in this document is subject to the stipulations of this policy. The CA's role and the corresponding CA procedures shall be defined in a CPS. Primarily, the CA's responsibilities are to ensure that the following functions occur according to the stipulations of this policy:

- RA functions as described in Section 5.2.1.2, if no separate RA is employed;
- certificate generation and revocation;
- posting certificates and CRLs;
- performing the incremental database backups;
- administrative functions such as compromise reporting and maintaining the database;
- hardware cryptographic module programming and management, if appropriate; and,
- key escrow and recovery.

#### 5.2.1.2 Registration Authority

Any RA, which operates under this policy, is subject to the stipulations of this policy, and of the PMA approved CPS under which it operates. Primarily, an RA's responsibilities are:

- verifying initial identity, pursuant to Section 3.2.3;
- entering Subscriber information, and verifying correctness;
- securely communicating requests to and responses from the CA;
- receiving and distributing Subscriber certificates;
- verifying the identity and authorization of entities requesting recovery of escrowed key material;
- authorizing and facilitating the recovery of escrowed key material; and,
- recovering escrowed key material if assigned that responsibility by the DoD PKI.

The RA role is highly dependent on public key infrastructure implementations and local requirements. The responsibilities and controls for RAs shall be explicitly described in the CPS of a CA if the CA uses an RA.

#### 5.2.1.3 Other Trusted Roles

A CMA shall, in its CPS, define other trusted roles to which shall be allocated responsibilities that ensure the proper, safe, and secure operation of the CMA equipment and procedures. These responsibilities include:

- System Administrator: initial configuration of the system; including installation of applications; initial setup of new accounts; configuration of initial host and network interface; assignment of security privileges and access controls for accounts and other trusted roles; creation of devices to support recovery from catastrophic system loss; performance of system backups, software upgrades and recovery; perform secure storage and distribution of the backups and upgrades to an off-site

location; change of the host or network interface configuration; SA includes any persons with the responsibility to perform the above administrative functions impacting CMA equipment;

- Compliance Auditor: performance of compliance audit; and,
- ISSO: performance of archive and deletion functions of the security audit log and other archive data as described in Sections 5.4 and 5.5 of this document; review of the security audit log.

To ensure system integrity, the CMAs shall be prohibited from performing these responsibilities for their own CMA facility. The CMA shall maintain lists, including names, organizations, and contact information, of those who act in these trusted roles, and shall make them available during compliance audits.

#### 5.2.1.4 PKI Sponsor

A PKI Sponsor fills the role of a Subscriber for non-human system components and organizations (including groups and roles) that are named as public key certificate subjects. The PKI Sponsor works with the CMAs and (when appropriate) their TAs to register components (e.g., routers, firewalls) in accordance with Section 3.2.3.3, and is responsible for meeting the obligations of Subscribers as defined throughout this document.

#### 5.2.1.5 Online Certificate Status Protocol (OCSP)

Any OCSP Responder, which operates under this policy, is subject to the stipulations of this policy, and of the PMA approved CPS under which it operates. Primarily, an OCSP Responder is responsible for:

- Providing certificate revocation status to the relying parties; and,
- Ensuring that revocation status responses provide authentication and integrity services commensurate with the security strength specified as acceptable in Table 4 [SP 800-57].

An OCSP Responder that is collocated with the CA and is hosted in the CA Enclave with protection equivalent to that provided to the CA signing key is known as a CA Hosted OCSP Responder.

### 5.2.2 Number of Persons Required for Task

Requirements for multi-person control are described in Section 6.2.2.

### 5.2.3 Identification and Authentication for Each Role

Person occupying a trusted role shall authenticate to a local infrastructure component of the DoD PKI using a valid DoD PKI certificate or other approved authentication method.

Persons occupying a trusted role shall authenticate to a remote infrastructure component of the DoD PKI using a valid DoD X.509 certificate.

### 5.2.4 Roles Requiring Separation of Duties

Under no circumstances shall the incumbent of a CMA role perform its own compliance or security auditor function. A Compliance Auditor shall not perform any other role on the CMA. An ISSO shall not perform any other role on the CMA. A CMA shall not perform any role on the CA, including being the ISSO or the compliance auditor. An RA shall not perform system administrator/ISSO duties on any system where they exercise CMA authority.

The CA, RA and OCSP Responder software and hardware shall enforce these role separations.

No individual shall have more than one identity on any CA, RA or OCSP Responder system.

## 5.3 PERSONNEL CONTROLS

### 5.3.1 Qualifications, Experience, and Clearance Requirements

Persons shall be selected for any CMA or other trusted role on the basis of loyalty to the United States, their trustworthiness, and integrity. CMAs may be US uniformed service members or government civilian employees of any organization authorized by the PMA to possess and issue DoD PKI certificates in accordance with Section 1.3.3, or such organizations' contractors. All CMAs and all persons holding a

trusted role on a CA shall be US citizens. All other persons filling trusted roles shall be US citizens or hold a US security clearance.

All CA and OCSP Responder operations shall be administered by a person or body (e.g., a Board of Directors). This person or body shall be identified as the CA or OCSP Responder as described in Sections 1.3, 1.3.1, 1.3.2, 5.2.1.1, and 5.2.1.5. The operators and equipment for a CA and OCSP Responder installation must be within the administrative control of the identified administrator.

Personnel appointed to operate CMA equipment within the DoD PKI may be military, civilian, or contractor personnel and shall:

- have successfully completed an appropriate training program;
- have demonstrated the ability to perform their duties;
- be trustworthy;
- have no other duties that would interfere or conflict with their duties as a CMA;
- have not been previously relieved of CMA or COMSEC custodian duties for reasons of negligence or non-performance of duties;
- have not been denied a security clearance, or had a security clearance revoked;
- have not been convicted of a felony offense; and,
- be appointed in writing by an approving authority, or be party to a contract for PKI services.

CMAs issuing or requesting certificates asserting security clearances (e.g., Confidential, Secret, Top Secret) shall hold a security clearance equal to or higher than the clearance being asserted. CMAs need not themselves hold other authorizations asserted in the certificates (e.g., security categories), unless the policy associated with these authorizations so requires.

### **5.3.2 Background Check Procedures**

Local service, agency, or community procedures shall be followed to determine the type of background check to be performed. Such checks are to be performed solely to determine the suitability of a person to fill a PKI role, and shall not be released except as required in Section 9.3. Background check procedures shall be described in the CPS.

### **5.3.3 Training Requirements**

All personnel involved in the CMA operation shall be appropriately trained. Topics shall include the operation of the CMA software and hardware, operational and security procedures, and the stipulations of this policy and local guidance. The specific training required will depend on the equipment used and the personnel selected. A training plan shall be established for a CMA installation, and training completed by the personnel shall be documented.

### **5.3.4 Retraining Frequency and Requirements**

Those involved in filling PKI roles shall be aware of changes in the CMA operation. Any significant change to the CMA operation shall have a training (awareness) plan, and the execution of such plan shall be documented. Examples of such changes are CA software or hardware upgrade, changes in automated security systems, and relocation of CA equipment.

### **5.3.5 Job Rotation Frequency and Sequence**

This policy makes no stipulation regarding frequency or sequence of job rotation. Local policies, which do impose requirements, shall provide for continuity and integrity of the PKI service.

### **5.3.6 Sanctions for Unauthorized Actions**

A CMA shall take appropriate administrative and disciplinary actions against personnel who violate this policy.

### 5.3.7 Independent Contractor Requirements

Contractor personnel employed to operate any part of the PKI shall be subject to the same criteria as a US Government employee, and cleared to the level of the information protected by the certificates the PKI issues.

PKI vendors who provide services to the DoD shall establish procedures to ensure that any subcontractors perform in accordance with its CPS and this policy.

### 5.3.8 Documentation Supplied to Personnel

Documentation sufficient to define duties and procedures for each role shall be provided to the personnel filling that role.

## 5.4 AUDIT LOGGING PROCEDURES

This section describes the security audit requirements for CMAs. In the case where CMA equipment operates in a virtual machine environment (VME), requirements in this section and subsections apply to both the host<sup>1</sup> and the hypervisor event logs.

### 5.4.1 Types of Events Recorded

All audit requirements apply to trusted roles and CA, OCSP Responder, and RA equipment, and any machines that are used to administer or manage the CA or OCSP Responder and any CMA equipment operated in a VME, including both the host and hypervisor. All of these machines are considered CMA equipment

Any security auditing capabilities of the underlying CMA equipment operating system shall be enabled during installation.

At a minimum, the following CMA events shall be recorded:

- CMA application access (e.g., logon);
- messages received from any source requesting CMA actions (certificate requests, certificate signing, certificate revocation, compromise notification, key escrow requests and escrowed key recovery requests); OCSP Responders are exempt from this audit requirement;
- actions taken in response to requests for CMA actions; for OCSP Responders, a CMA ISSO shall record the results of the analysis of a weekly sample of responses sent by each responder;
- physical access to, loading, zeroizing, transferring keys to or from, backing-up, acquiring or destroying CMA cryptographic modules;
- receipt, servicing (e.g., keying or other cryptologic manipulations), and shipping hardware cryptographic modules;
- posting of any material to a repository;
- anomalies, error conditions, software integrity check failures, receipt of improper or misrouted messages; and,
- any known or suspected violations of physical security, suspected or known attempts to attack the CMA equipment via network attacks, equipment failures, power outages, network failures, or violations of this certificate policy.

The CA equipment and OCSP Responders shall record server installation, access, and modification (to include changes in configuration files, security profiles, administrator privileges).

The following must be recorded for CAs and OCSP Responders:

- equipment access (e.g., room access);
- file manipulation and account management;
- changing the time on the CA;

---

<sup>1</sup> The various operating systems executing on a hypervisor are referenced by one or more of the following terms which are considered synonymous in this CP: host, virtual machine, and guest operating system.



- posting of any material to a repository;
- access to databases; and,
- any use of the signing key.

For each auditable event defined in this section, the CMA security audit record shall include, at a minimum:

- the type of event;
- the time the event occurred;
- for messages from RAs (or other entities) requesting CA actions, the message source, destination and contents;
- for attempted CA certificate signature or revocation – a success or failure indication; and,
- for operator-initiated actions (including equipment and application access), the identity of the equipment operator who initiated the action.

Where possible, the security audit data shall be automatically collected; when this is not possible a logbook, paper form, or other physical mechanism shall be used. All security audit logs, both electronic and non-electronic, shall be retained in accordance with the requirements of Section 5.4.3.

### **5.4.2 Frequency of Processing Log**

For Medium Assurance, at least 6 periodic reviews are required per year, with a minimum of 25 percent of the security audit data generated since the last review to be examined.

For Internal NPE CAs, security audit data shall be processed and reviewed as often and as thoroughly as the operating organization processes and reviews high-value network asset and application event logs.

The CMA shall implement procedures to ensure that the security audit data is transferred prior to overwriting or overflow of automated security audit log files.

### **5.4.3 Retention Period of Audit Log**

The information generated on the CMA equipment shall be kept on the CMA equipment until the information is removed and stored as specified in Section 5.4.4. Deletion of the security audit data from the CMA equipment shall be performed by an entity other than the CMA. This entity shall be identified in the CMA's CPS. Security audit data shall be available on-site for at least two months or until reviewed, then off-site as archive records in accordance with Section 5.5.2. All security audit logs, both electronic and non-electronic, shall be retained and made available during compliance audits.

For Internal NPE CAs, security audit data shall be retained until the certificate related to the event expires.

### **5.4.4 Protection of Audit Log**

The security audit data shall not be open for reading or modification by any human, or by any automated process other than those that perform security audit processing. CMA system configuration and procedures must be implemented together to ensure that only authorized people archive or delete security audit data. The entity performing security audit data archive need not have 'Modify' access, but procedures must be implemented to protect archived data from deletion or destruction prior to the end of the security audit data retention period (note that deletion requires modification access). Security audit data shall be moved to a safe, secure storage location separate from the CMA equipment.

For Internal NPE CAs, security audit data shall be protected as other high-value network assets and application event logs.

### **5.4.5 Audit Log Backup Procedures**

Security audit data shall be backed up at least monthly. A copy of the security audit data shall be sent off-site on a monthly basis as specified in the CPS.

For Internal NPE CAs, security audit data are not required to be backed up.

#### **5.4.6 Audit Collection System (Internal vs. External)**

The security audit process shall run independently and shall not in any way be under the control of the CMA. Operating system security audit processes shall be invoked at system startup, and cease only at system shutdown. All application security audit processes shall be invoked at system startup and cease only at application shutdown. Should it become apparent that an automated security audit system has failed; the CMA shall cease all operation except for revocation processing until the security audit capability can be restored. Under these circumstances, the CMA shall employ mechanisms to preclude unauthorized CMA functions. These mechanisms shall be described in the CMA's CPS.

#### **5.4.7 Notification to Event-Causing Subject**

There is no requirement to notify a subject that an event was audited. Real-time alerts are neither required nor prohibited by this policy.

#### **5.4.8 Vulnerability Assessments**

The CMA, system administrator, and other operating personnel shall be watchful for attempts to violate the integrity of the certificate management system, including the equipment, physical location, and personnel. The security audit data shall be reviewed by the security auditor for events such as repeated failed actions, requests for privileged information, attempted access of system files, and unauthenticated responses. Security auditors shall check for continuity of the security audit data. The ISSO shall document the summary results of the period review of the audit logs.

For Internal NPE CAs, vulnerability assessments shall be performed as for other high-value network assets and applications.

### **5.5 RECORDS ARCHIVAL**

In the case where CMA equipment operates in a VME, requirements in this section and subsections apply to both the host and the hypervisor event logs.

#### **5.5.1 Types of Records Archived**

CMA archive records shall be sufficiently detailed as to verify that the PKI was properly operated as well as verify the validity of any certificate throughout its validity period (e.g., valid, revoked, suspended). At a minimum, the following data shall be archived.

During CMA system initialization:

- CMA accreditation (if necessary);
- CPs, CPSs;
- Any contractual or other agreements to which the CMA is bound or that concern operations;
- Compliance Audit Reports; and,
- System equipment configuration.

During CMA operation:

- Modifications or updates to any of the above data items;
- Certificate issuance, revocation, suspension, restoration and key recovery requests;
- Subscriber identity authentication documentation as required by Section 3.2.3;
- Documentation of receipt and acceptance of certificates as described in Section 4.4;
- Documentation of receipt of tokens as described in Section 3.2.1;
- All certificates and CRLs (or other revocation information) as issued or published;
- Security audit data (in accordance with Section 5.4);
- Other data or applications sufficient to verify archive contents;
- All work-related communications to or from the PMA, other CMAs, and compliance auditors;
- Key recovery requestor identity authentication documentation as required by Section 3.5;
- Documentation of authority of the requestor, receipt and acceptance of recovered keys as required by Section 4.12.2; and,

- Escrowed keys.

### 5.5.2 Retention Period of Archive

Archive records covered by either a General Records Schedule established by the National Archives and Records Administration or an agency-specific schedule as applicable shall be retained as specified in the approved records schedule in accordance with *DoD Records Management Program* [DoDI 5015.02]. Otherwise, archive records shall be kept, without any loss of data, for.

Assurance Level	Minimum Retention Period
Internal NPE	7 Years
All other policies	10 Years, 6 Months

Applications necessary to read these archives must be maintained for at least the applicable retention period above.

The CMA shall maintain the archived data, or provide archived data and the applications necessary to read the archives to a PMA approved DoD archival facility, which shall retain the applications necessary to read this archived data, until expiration of the designated archive period.

### 5.5.3 Protection of Archive

No unauthorized CMA equipment operator shall be able to modify or delete the archive, but archived records may be moved to another medium. If the original media cannot retain the data for the required period, a mechanism to periodically transfer the archived data to new media shall be defined by the archive site. No transfer of medium shall invalidate CMA applied signatures. The CMA shall maintain a list of people authorized to modify or delete the archive, and make this list available during CP compliance audits. Release of sensitive archive information will be as described in Section 9.4.

Archive media shall be stored in a separate, safe, secure storage facility. Prior to archive, archive records shall be labeled with the CMA's distinguished name, the date, and the classification.

For Internal NPE CAs, archive data shall be protected as for other high-value network asset and application data.

### 5.5.4 Archive Backup Procedures

No stipulation.

### 5.5.5 Requirements for Time-Stamping of Records

Audit records that become part of the archive retain the date/time stamp used when they were created. Other records that are captured electronically shall be marked with the date and time of the system on which they were generated. Manual records only require the date on the document.

### 5.5.6 Archive Collection System (Internal vs. External)

Archive data may be collected in any expedient manner.

### 5.5.7 Procedures to Obtain and Verify Archive Information

Procedures detailing how to create, package, and send the archive information shall be published in a CMA procedures handbook or CPS. Only authorized CMA equipment operators will be allowed to access the archive.

## 5.6 KEY CHANGEOVER

A CA uses a signing (private) key for creating certificates; however, relying parties employ the CA certificate for the life of the Subscriber certificate beyond that signing. Therefore, CAs must not issue Subscriber certificates that extend beyond the expiration dates of their own certificates and public keys. To minimize

risk to the PKI through compromise of a CA's key, the private signing key will be changed more frequently, and only the new key will be used for certificate signing purposes from that time. The older, but still valid, certificate will be available to verify old signatures until all of the Subscriber certificates signed under it have also expired. If the old private key is used to sign CRLs that contain certificates signed with that key, then the old key must be retained and protected. For a thorough discussion of key changeover, see *Internet X.509 Public Key Infrastructure Certificate Management Protocol (CMP)* [RFC 4210].

The following table summarizes in years the maximum validity period of the CA's signature certificate, and the maximum lifetime of the associated authority-signing key (used for certificate signing), separated by a slash. RA key lifetimes are as described for Subscribers in Section 3.3. If a CA certificate and key lifetime are selected that are shorter than a Subscriber's, then the RA certificate and key lifetime shall be no longer than that of the CA. Note that signature keys that have expired for the purposes of certificate signing may still be used for CRL signature. All values are in years.

Policy	Signing CA	Intermediate CA	Root CA
Internal NPE	10/10	20/10	36/20
All other policies	6/6	10/4	30/20

## 5.7 COMPROMISE AND DISASTER RECOVERY

### 5.7.1 Incident and Compromise Handling Procedures

If a hacking attempt or other form of potential compromise of a CA becomes known, it shall be investigated in order to determine the nature and the degree of damage. If the CA key is suspected of compromise, the procedures outlined in Section 5.7.3 shall be followed. Otherwise, the scope of potential damage shall be assessed in order to determine if the CA needs to be rebuilt, only some certificates need to be revoked, and/or the CA key needs to be declared compromised.

In case of an OCSP Responder key compromise, a CA that issued the OCSP Responder a certificate shall revoke that OCSP Responder's certificate, and the revocation information shall be published immediately in the most expeditious manner. Subsequently, the OCSP Responder shall be re-keyed. Furthermore, if a CA Hosted OCSP Responder is suspected or known to be compromised or misused, the event shall be treated as a compromise of the CA issuing the OCSP Responder certificate.

### 5.7.2 Computing Resources, Software, and/or Data are Corrupted

The CA shall maintain backup copies of system, databases, and private keys in order to rebuild the CA capability in case of software and/or data corruption. Prior to resuming operations, the CA shall ensure that the system's integrity has been restored.

### 5.7.3 Entity Private Key Compromise Procedures

In case of a CA key compromise, a superior CA shall revoke that CA's certificate, and the revocation information shall be published immediately in the most expedient manner. Subsequently, the CA installation shall be re-established as in Section 5.7.4. If the CA is a Root CA, the trusted self-signed certificate must be removed from each Relying Party application, and a new one distributed via secure out-of-band mechanisms. Root CAs shall describe their approaches to reacting to a Root CA key compromise in their CPSs.

### 5.7.4 Business Continuity Capabilities After a Disaster

CAs are required to maintain an Authorizing Official approved Disaster Recovery Plan.

In the case of a disaster in which the CA equipment is damaged and inoperative, the CA operations shall be reestablished as quickly as possible, giving priority to the ability to revoke Subscriber's certificates. If the CA cannot reestablish revocation capabilities prior to the shorter of the next update field in the latest CRL issued by the CA or one week, then the CA must report to the PMA. The PMA shall decide whether to declare the

CA private signing key as compromised, and reestablish the CA keys and certificates, all cross-certificates, and all Subscriber certificates, or allow additional time for reestablishment of the CA's revocation capability.

In the case of a disaster whereby a CA installation is physically damaged and all copies of the CA signature key are destroyed as a result, the CA shall request that its certificates be revoked. The CA installation shall then be completely rebuilt, by reestablishing the CA equipment, generating new private and public keys, being re-certified, and re-issuing all cross certificates. Finally, all Subscriber certificates shall be re-issued. In such events, any Relying Parties who continue to use certificates signed with the destroyed private key do so at their own risk and the risk of others to whom they forward data.

## **5.8 CA OR RA TERMINATION**

See Section 9.10.

## 6 TECHNICAL SECURITY CONTROLS

### 6.1 KEY PAIR GENERATION AND INSTALLATION

#### 6.1.1 Key Pair Generation

All keys and intermediate keys and pseudo-random numbers used for all key generation shall be generated using a FIPS approved method. For example, a prime number for use with the RSA algorithm defined in *RSA Cryptography Standard* [PKCS 1] shall be generated and checked in accordance with [PKCS 1]. A private key is considered to be generated by the PKI entity that first comes into possession of it: a Subscriber, an RA, or a CA. Specified FIPS validation levels are minimums.

Random numbers for Medium Hardware key material shall be generated in FIPS 140 Level 2 validated hardware cryptographic module.

A private key must not appear outside of the module in which it was generated unless it is encrypted for transport (see Section 6.2.6) or for processing or storage by a key recovery mechanism.

CA cryptographic keying material shall be generated in FIPS 140 Level 2 validated hardware cryptographic modules.

For other than Internal NPE CAs, the CA key generation shall be under two-person control. The procedures used to generate the CA keys shall be documented and signed by two or more individuals to provide auditable evidence that the documented procedures were followed. The documentation of the procedure shall be detailed enough to show that appropriate role separation was used. Independent third party (e.g., compliance auditor) shall validate the key generation procedures either by witnessing or by examining the signed and documented procedures.

OCSP Responder cryptographic keying material shall be generated in FIPS 140 Level 2 validated cryptographic modules. A FIPS 140 Level 2 validated hardware cryptographic module shall be used for OCSP Responders.

Medium Assurance key pairs shall be generated in FIPS 140 Level 1 validated cryptographic modules.

Medium Hardware signature key pairs shall be generated on the Subscriber token which shall be a FIPS 140 Level 2 validated hardware cryptographic module.

Medium Hardware encryption key pairs shall be generated on a FIPS 140 Level 2 validated hardware cryptographic module. The hardware module need not be the Subscriber token as long as there are assurances that no copies other than the authorized key escrow copy of the private encryption key continue to exist after the generation and transfer processes have completed.

#### 6.1.2 Private Key Delivery to Subscriber

In most cases, a private key will be generated and remain within the cryptographic boundary of a cryptographic module. If the owner of the module generates the key locally, then there is no need to deliver the Subscriber's private key. If the key is generated on a hardware cryptographic module elsewhere, then the hardware cryptographic module must be delivered to the Subscriber. Accountability for the location and state of the hardware cryptographic module must be maintained until the Subscriber is in possession of it. The Subscriber shall acknowledge receipt of the hardware cryptographic module.

Private keys associated with Medium Assurance (excluding Medium Hardware) certificates may be generated and stored in software cryptographic modules. When the Subscriber generates these keys locally, there is no need to deliver them. If the private keys are generated elsewhere, they must be transmitted or delivered to the Subscriber in encrypted form and the encryption method ensures that only the Subscriber may possess the plaintext private signature keys. The encryption must be of strength commensurate with that of the key being protected. The Subscriber shall acknowledge receipt of the private

signature key. The originally generated private signature key shall be destroyed. Mechanisms shall ensure that additional copies of software keys are not maintained except as allowed in this CP.

Private keys associated with encryption certificates recovered from the KES shall be transmitted or delivered to the requestor encrypted using a method that provides protection commensurate with the strength of the private key being protected and the delivery shall be accomplished in a way that ensures that the recovered key is only provided to the correct requestor. The CMA must maintain a record of receipt of the recovered key by the requestor. When any mechanism that includes a shared secret (e.g., a password) is used to protect the key in transit, the mechanism shall ensure that the requestor and the transmitting CMA are the only holders of this shared secret.

For all assurance levels, when keyed hardware tokens are delivered to Subscribers, the delivery shall be accomplished in a way that ensures that the correct tokens and activation data are provided to the correct Subscribers. The CMA must maintain a record of receipt of the token by the Subscriber. When any mechanism that includes a shared secret (e.g., a password or Personal Identification Number (PIN)) is used, the mechanism shall ensure that the applicant and the CMA are the only recipients of this shared secret.

### 6.1.3 Public Key Delivery to Certificate Issuer

Public keys shall be delivered to the certificate issuer in a way that binds the applicant's verified identification to the public key being certified. This binding shall be accomplished using means that are as secure as the security offered by the keys being certified. The binding shall be accomplished using cryptographic, physical, procedural, and other appropriate methods. The methods used for public key delivery shall be stipulated in the CPS.

In those cases where public/private key pairs are generated by the CMA on behalf of the Subscriber, the CMA shall implement secure mechanisms to ensure that the token on which the public/private key pair is held is securely sent to the proper Subscriber, and that the token is not activated prior to receipt by the proper Subscriber.

### 6.1.4 CA Public Key Delivery to Relying Parties

The PKI and the relying parties must work together to ensure the authenticated and integral delivery of Trusted Certificates. Acceptable methods for Trusted Certificate delivery include, but are not limited to:

- CAs or RAs loading Trusted Certificates onto tokens delivered to relying parties via secure mechanisms;
- Secure distribution of Trusted Certificates through secure out-of-band mechanisms;
- Comparison of certificate hashes or fingerprints against Trusted Certificate hashes or fingerprints made available via authenticated out-of-band sources (note that fingerprints or hashes posted in-band along with the certificate are not acceptable as an authentication mechanism); and,
- Loading certificates from web sites secured with a currently valid DoD certificate of equal or greater assurance level than the certificate being downloaded.

### 6.1.5 Key Sizes

With the exception of OCSP Responder Certificates, all certificates shall contain a public key and be signed using a key size and hash algorithm that is at least as strong as that required for the highest assurance policy OID asserted in the certificate.

Highest Policy	Minimum RSA Key	Minimum ECC Key*	Minimum Hash
Medium-112	2048	256	SHA-256
Medium-128	3072	256	SHA-256
Medium-192	7680	384	SHA-384
Internal NPE	2048	256	SHA-256

\* ECC certificates use one of the curves specified in Section 7.1.4.

All CRLs shall be signed with the same signature algorithm, key size, and hash algorithm used by the CA to sign certificates.

CAs shall sign OCSP Responder certificates using the same key and hashing algorithms that the CA uses to sign the certificates for which the OCSP Responder is authoritative.

CAs may issue OCSP Responder certificates with a public key that is acceptable as specified in Table 4 of [SP 800-57] for the anticipated key life of the OCSP Responder.

OCSP Responders shall sign responses using a signature algorithm, key size, and hash algorithm of equal or greater cryptographic strength than are acceptable as specified in Table 4 of [SP 800-57] for the anticipated key life of the OCSP Responder.

Cryptographic mechanisms used to protect registration information or subscriber private key during deliver (e.g., TLS) shall be at a strength equal and greater than the security strength of the private key.

### **6.1.6 Public Key Parameters Generation and Quality Checking**

Public key parameters shall always be generated and checked in accordance with the standard that defines the cryptographic algorithm in which the parameters are to be used. For example, public key parameters for use with algorithms defined in the *Digital Signature Standard* [FIPS 186] shall be generated and tested in accordance with [FIPS 186].

Whenever a cryptographic algorithm is described in [FIPS 186], the parameter generation and checking requirements and recommendations of [FIPS 186] shall be required of all entities generating key pairs whose public components are to be certified by the DoD PKI.

### **6.1.7 Key Usage Purposes (as per X.509 V3 Key Usage Field)**

The use of a specific key is determined by the key usage extension in the X.509 certificate. A certificate to be used for signing or authentication asserts a key usage of Digital Signature. A certificate to be used for encryption asserts a key usage of Key Encipherment or Key Agreement.

Except as stated below, public keys that are bound into certificates shall be certified for use in signing or encrypting, but not both.

Some NPE applications are not able to use separate signing and encryption certificates, either because of the application design or because the certificate will be used with a protocol (e.g., SSL/TLS) that provides authenticated connections using encryption certificates. The PKI may issue certificates to NPEs that support both signing and encryption.

Certificates that are used for encryption shall not assert a key usage of Non-Repudiation. Certificates which assert policy OIDs from [Common CP] shall assert key usage extensions as required by the *X.509 Certificate and Certificate Revocation List (CRL) Extensions Profile for the Shared Service Providers (SSP) Program* [FCOM PROF]. Other certificates that are used only for signing or authentication may assert a key usage of Non-Repudiation.

Formats of the CA and end entity certificates, including how the key usage extension is populated in these certificates, are described in *DoD PKI NIPRNet Certificate and Certificate Revocation List Profiles* [DoD PROF].



## 6.2 PRIVATE KEY PROTECTION AND CRYPTOGRAPHIC MODULE ENGINEERING CONTROLS

### 6.2.1 Cryptographic Module Standards and Controls

The relevant standard for cryptographic modules is *Security Requirements for Cryptographic Modules* [FIPS 140]. The PMA may determine that other comparable validation, certification, or verification standards are sufficient. These standards will be published by the PMA. Cryptographic modules shall be validated to the [FIPS 140] level identified in this section, or validated, certified, or verified via one of the standards published by the PMA.

Subscribers who have keys certified under Medium Assurance shall use cryptographic modules, which meet at least the criteria specified for Level 1. Subscribers who have keys certified under Medium Hardware shall use hardware cryptographic modules, which meet at least the criteria specified for Level 2. A higher level may be used if available or desired. A PKI should provide the option of using any acceptable cryptographic module to facilitate the management of Subscriber certificates.

All certificates shall be signed using a hardware cryptographic module that is FIPS 140 validated at overall Level 2 and Level 3 for Physical Security.

All OCSP Responders shall use FIPS 140 Level 2 or higher hardware cryptographic modules.

All RAs shall use hardware cryptographic modules at Level 2.

All cryptographic modules shall be operated such that the private asymmetric cryptographic keys shall never be output in plaintext. No private key shall appear unencrypted outside the CA equipment.

When a single cryptographic module has the private keys of more than one entity, the private keys shall be protected in a cryptographic module validated at FIPS 140 Level 2 hardware or higher. Where an entity controls a cryptographic module that has multiple private keys for certificates of different types or with different DNs that have been issued to or provided to that entity by the PKI, this requirement shall not apply.

No one shall have access to a private signing key but the Subscriber. Private decryption keys shall only be held by the Subscriber and parties authorized to request recovery as specified in Section 4.12.2.2. Key recovery requestors shall protect recovered keys as described in Section 4.12.2.3.

Private keys used to sign certificates that will assert security privileges are classified at the same level as the classification asserted in the certificate. In the case where the CA will not independently verify security privilege information, this requirement extends to RA private keys.

Note that Section 6.1.1 stipulates cryptographic module requirements for key generation.

Medium Assurance	Subscriber	RA and CA	OCSP Responder
FIPS 140 (current version) validation	Level 1	Level 2 (hardware)*	Level 2 (hardware)
Operational requirement	Shall not output private asymmetric key in plaintext		

Medium Hardware	Subscriber	RA and CA	OCSP Responder
FIPS 140 (current version) validation	Level 2 (hardware)	Level 2 (hardware)*	Level 2 (hardware)
Operational requirement	Shall not output private asymmetric key in plaintext		

\* Level 3 Physical Security required for CAs.

### 6.2.2 Private Key (n out of m) Multi-Person Control

Internal NPE CAs have no multi-person control requirements.

For all other policies:

CA key generation, key activation and key backup shall require the presence of two trusted roles as defined in Section 5.2.1. For these activities, one of the trusted roles shall be a system administrator. The other party shall not hold the ISSO or Compliance Auditor role.

For OCSP Responders, key generation, key activation and key backup shall require the presence of two trusted roles as defined in Section 5.2.1.

Access to CA or OCSP Responder signing keys backed up for disaster recovery shall be under at least two-person control.

The CA or OCSP Responder certificate request (including the public key generation and delivery) for the purpose of generating a CA or OCSP certificate shall be carried out under two-person control. The names of the parties used for two-person control shall be maintained on a list that shall be made available for inspection during compliance audits.

Access to an escrowed private key as part of key recovery and subsequent delivery to a third-party requestor shall be under two-person control.

### **6.2.3 Private Key Escrow**

CA private keys shall not be escrowed.

The private key associated with any certificate that asserts a key usage of digital signature or non-repudiation shall not be escrowed.

For some purposes (e.g., data recovery) it may be necessary to provide key retrieval for the private component of the encryption certificate key pair. To facilitate this, the PKI shall provide a key escrow capability. The method, procedures and controls which will apply to the storage, request for, extraction and/or retrieval, delivery, protection and destruction of the requested copy of an escrowed key are described in this CP.

### **6.2.4 Private Key Backup**

For Medium Assurance, Subscribers are permitted to back-up their own encryption (but not signature) private keys. Backup of a Subscriber's private signature keys for the sole purpose of key recovery shall not be made. Subscribers are permitted to make operational copies of private keys residing in software cryptographic modules for each of the Subscriber's applications or locations that require the key in a different location or format. Medium Assurance, except for Medium Assurance Hardware, Component PKI Sponsors (see Sections 3.2.3 and 5.2.1.4) are authorized to make a single backup copy of the component private keys to support backup in cases where component malfunction results in key corruption. All key transfers shall be done from an approved cryptographic module, and the key shall be encrypted during the transfer. The Subscriber (PKI Sponsor for Components) is responsible for ensuring that all copies of private keys, including those that might be embedded in component backups, are protected including protecting any workstation on which any of its private keys reside.

A CA may only copy a Subscriber's hardware cryptographic module in response to a valid initial request for a backup, or as a result of an administrative action form request signed by the Subscriber. Every access authorization shall be documented, and each resultant access recorded. Only CAs and Subscribers shall back-up private keys (RAs shall not back-up private keys).

Backup copies of CA private signature keys shall only be made and handled under the same multi-person control as the original signature key. No more than two backup copies of the CA private signature keys may be made. One copy of the backup shall be kept at a backup location.

OCSP Responder's private signature keys shall be backed up as defined in Section 5.6. No more than two backup copies of the OCSP Responder's private signature keys may be made. If backups are made, only a

single copy of any signature key is to be kept at the OCSP Responder location; if a second copy is made, it shall be kept at a backup location. The backup module shall also meet the cryptographic module requirements for the OCSP Responder.

### **6.2.5 Private Key Archival**

See Sections 6.2.3 and 6.2.4.

### **6.2.6 Private Key Transfer Into or From a Cryptographic Module**

Private keys are to be generated by and in a cryptographic module. In the event that a private key is to be transported from one cryptographic module to another, the private key shall be encrypted during transport; private keys shall never exist in plaintext form outside the cryptographic module boundary. Transport of a private key shall only be to an authorized entity (only the Subscriber in the case of a signature key) and the strength of the encryption must be at least commensurate with the key being transported.

The encrypted form of a Subscriber private key (e.g., PKCS #12 file) shall be protected from unauthorized copying by removing it from on-line storage immediately after use.

Private or symmetric keys used to encrypt other private keys for transport shall be protected from disclosure. The protection of these keys shall be commensurate with that provided the data protected by the certificate associated with the private key.

### **6.2.7 Private Key Storage on Cryptographic Module**

The private key stored in the cryptographic module shall be protected from unauthorized access and use in accordance with [FIPS 140] requirements applicable for the module.

### **6.2.8 Method of Activating Private Key**

At Medium NPE assurance level, private keys may be activated without entry of activation data. For all other assurance levels, pass-phrases, PINs, biometric data, or other mechanisms of equivalent authentication robustness must be used to activate the private key in a cryptographic module. (Activation data generation requirements are specified in Section 6.4.1.) Activation data may be distributed in person, or mailed to the Subscribers separately from the cryptographic modules that they activate. Entry of activation data must be protected from disclosure (e.g., the data should not be displayed while it is entered).

### **6.2.9 Method of Deactivating Private Key**

Cryptographic modules, which have been activated, must not be left unattended or otherwise open to unauthorized access. After use, they must be deactivated, e.g., via a manual logout procedure, or by a passive timeout. Hardware cryptographic modules shall be removed and stored when not in use.

### **6.2.10 Method of Destroying Private Key**

Private keys shall be destroyed when they are no longer needed, or when the certificates to which they correspond expire or are revoked. For software cryptographic modules, this can be overwriting the data. For hardware cryptographic modules, this will likely be executing a "zeroize" command. Physical destruction of hardware should not be required.

### **6.2.11 Cryptographic Module Rating**

Requirements for cryptographic modules are as stated in Section 6.2.1.

## **6.3 OTHER ASPECTS OF KEY PAIR MANAGEMENT**

### **6.3.1 Public Key Archival**

The public key is archived as part of the certificate archival.

### 6.3.2 Certificate Operational Periods and Key Pair Usage Periods

Code signers and PIV content signers may use their private keys for up to 13 months; the lifetime of the associated public key certificates shall not exceed six years.

A CA Hosted OCSP Responder certificate may be valid for the life of the issuing CA. All other OCSP Responders compliant with this CP shall have a certificate validity of 45 days or less and private key validity of 3 years or less.

The key usage periods for keying material for other end entities are described in Section 3.3.

## 6.4 ACTIVATION DATA

### 6.4.1 Activation Data Generation and Installation

At NPE assurance levels, private keys may be activated without entry of activation data. For all other assurance levels, activation data may be Subscriber selected. A pass-phrase, PIN, biometric data, or other mechanisms of equivalent authentication robustness shall be used to protect access to use of a private key at all assurance levels except Medium NPE assurance level; at Medium NPE assurance level, private keys may be activated without entry of activation data. Activation data shall meet the "strength of authentication mechanism" requirements in Section 4.4.3 of [FIPS 140].

Subscriber (to include CMAs) PINs, when used, shall be 6-8 digits at a minimum. Randomly generated PINs shall be used when possible. If this is not possible, Subscribers who create their own PINs shall be instructed to select PINs that are not related to their personal identity, history, or environment. Sequences, repeated numbers, social security numbers, and date formats, or other easily guessed numbers shall not be used. When alphanumeric pass-phrases are used, an interspersed mix of 8 characters, including at least two interspersed digits, shall be used. The activation data shall not resemble dictionary words; they shall differ from words or names by at least two characters that are not simple number-for-letter substitutions and shall not consist of words or names followed by 1-4 digits. The activation data shall not contain sequences, repeated characters, date formats, or license plate formats. To the extent practicable, technical means shall be used to verify that the activation data meets all of the requirements in this section.

If random numbers are used to generate PINs or pass-phrases, they shall meet all the applicable [FIPS 140] requirements. The method used to derive PIN or pass-phrase characters from the random numbers shall ensure that all valid characters for the PIN or pass-phrase are selected with equal probability (e.g., generate a random number (with 8 bits of entropy) and either use it if it corresponds to the ASCII representation of an element of the valid character set, or otherwise reject it and obtain an additional 8 bits of random data and repeat).

If the activation data must be transmitted, it shall be via a channel of appropriate protection, and distinct in time and place from the associated cryptographic module. If this is not done by hand, the Subscriber shall be advised of the shipping date, method of shipping, and expected delivery date of any activation data. As part of the delivery method, Subscribers will sign and return a delivery receipt. In addition, Subscribers should also receive (and acknowledge) a Subscriber advisory statement to help to understand responsibilities for use and control of the cryptographic module.

### 6.4.2 Activation Data Protection

Activation data for cryptographic modules should be memorized, not written down. If written down, it shall be secured at the level of the data that the associated cryptographic module is used to protect, and shall not be stored with the cryptographic module.

At Medium NPE assurance level, private keys may be activated without entry of activation data. For all other assurance levels:

- Activation data for private keys associated with certificates asserting individual identities shall never be shared; and,

- Activation data for private keys associated with certificates asserting organizational identities shall be restricted to those in the organization authorized to use the private keys.

### **6.4.3 Other Aspects of Activation Data**

CMA shall change their CMA cryptographic module activation data whenever the CMA token is returned for maintenance or re-key.

Where a single cryptographic module has the private keys of more than one entity, remote activation shall require authentication commensurate with the assurance level of the certificate of the key being activated.

## **6.5 COMPUTER SECURITY CONTROLS**

### **6.5.1 Specific Computer Security Technical Requirements**

CA and OCSP Responder equipment used for Medium Assurance infrastructures shall use operating systems that:

- Require authenticated logins;
- Provide discretionary access control;
- Provide a security audit capability;
- Provide process isolation; and,
- Support recovery from key or system failure.

When CA or OCSP Responder equipment is hosted on evaluated platforms in support of computer security assurance requirements then the system (hardware, software, and operating system) shall, when possible, operate in an evaluated configuration. At a minimum, such platforms shall use the same version of the computer operating system as received the evaluation rating.

For other than Internal NPE CAs and OCSP Responders, two-person control shall be enforced (using physical and/or technical means) on functions performed to administer the hardware, operating system, and applications.

The number of accounts and personnel assigned for CMA equipment and the administration thereof shall be the minimum number necessary to accomplish the required functions. Any management of the PKI equipment shall be performed from a single administrative domain.

For CMA equipment operated in a VME, the requirements above shall be applied to the hypervisor where applicable.

### **6.5.2 Computer Security Rating**

See Section 6.5.1.

## **6.6 LIFE CYCLE TECHNICAL CONTROLS**

### **6.6.1 System Development Controls**

No Stipulation.

### **6.6.2 Security Management Controls**

The CA and OCSP Responder equipment, including the hypervisor and the underlying hardware in a VME, shall be dedicated to administering a key management infrastructure. The configuration of the CA and OCSP Responder systems, as well as any modifications and upgrades, shall be documented. The CA and OCSP Responder systems shall not have installed applications or component software, which are not part of the CA and OCSP Responder configuration. A formal configuration management methodology shall be used for installation and ongoing maintenance of CA and OCSP Responder systems. There shall be a mechanism for detecting unauthorized modifications to the CA and OCSP Responder system software or configuration.

Reasonable care shall be taken to prevent malicious software from being loaded on RA equipment. Only applications required to perform the organization's mission shall be loaded on the RA computer, and all such software shall be obtained from sources authorized by local policy. Data on RA equipment shall be scanned for malicious code on first use and periodically afterward.

### **6.6.3 Life Cycle Security Controls**

Equipment (hardware and software) procured to operate a PKI shall be purchased in a fashion to reduce the likelihood that any particular component was tampered with, such as random selection. Equipment developed for a PKI shall be developed in a controlled environment.

All hardware and software that has been identified as supporting an OCSP Responder or a CA must be shipped in protective packaging and delivered via controlled methods that provide a continuous chain of accountability from the location where it has been identified as supporting a CMA function to the using facility. CA and OCSP Responder (for those OCSP Responders specified above in this paragraph) software, when first loaded, shall be verified as being that supplied by the authorized source, with no unauthorized modifications, and be the version intended for use.

Equipment updates shall be purchased or developed in the same manner as original equipment, and be installed by trusted and trained personnel in a defined manner.

For classified applications, the CA equipment and cards will be shipped via the COMSEC Material Control System (CMCS) if any classified application software has been loaded, or if any classified information has ever been loaded on the equipment or cards.

## **6.7 NETWORK SECURITY CONTROLS**

Internal NPE CAs shall be provided with network security controls equivalent to those provided to other high value assets (e.g., domain controllers) on the network. Other CMA equipment shall be located on internal networks behind boundary/perimeter network defenses and afforded protections consistent with the *Risk Management Framework (RMF) for DoD Information Technology* [DoDI 8510.01] specified controls for network security for systems categorized in accordance with *Security Categorization and Control Selection for National Security Systems* [CNSSI 1253] having an impact of High for integrity and availability. Services allowed to and from Medium Assurance CA and OCSP Responder equipment shall be limited to those required to perform CMA functions. Other CMA equipment may enable additional services consistent with local policy.

Protection of CMA equipment shall be provided against known network attacks. All unused network ports and services shall be turned off. Any network software present on the CMA equipment shall be necessary to the functioning of the CMA application. Root CA equipment shall be stand-alone (off-line) configurations. Any boundary control devices used to protect the network on which PKI equipment is hosted shall deny all but the necessary services to the PKI equipment even if those services are enabled for other devices on the network.

## **6.8 TIME STAMPING**

Asserted times shall be accurate to within three minutes. Electronic or manual procedures may be used to maintain system time.

## 7 CERTIFICATE, CRL, AND OCSP PROFILE

### 7.1 CERTIFICATE PROFILE

#### 7.1.1 Version Number(s)

This policy governs only DoD X.509 Version 3 certificates.

Certificate profiles are described in [DoD PROF].

#### 7.1.2 Certificate Extensions

Rules for the inclusion, assignment of value, and processing of extensions are defined in profiles. These profiles are written to prescribe an appropriate amount of control over an infrastructure, yet be flexible enough to meet the needs of the various CAs and communities.

Medium Assurance infrastructures shall use *Federal PKI X.509 Certificate and CRL Extensions Profile* [FPKI PROF]. Certificates containing policy OIDs from [Common CP] shall use [FCOM PROF]. Any variance to these profiles shall be approved by the DoD PKI Program Management Office and documented. Whenever private extensions are used, they shall be identified in a CPS. Critical private extensions shall be interoperable in their intended community of use.

#### 7.1.3 Algorithm Object Identifiers

Certificates under this policy will use the following OIDs for signatures:

sha256WithRSAEncryption	{iso(1) member-body(2) us(840) rsadsi(113549) pkcs(1) pkcs-1(1) 11}
sha384WithRSAEncryption	{iso(1) member-body(2) us(840) rsadsi(113549) pkcs(1) pkcs-1(1) 12}
ecdsa-with-SHA256	{iso(1) member-body(2) us(840) ansi-X9-62(10045) signatures(4) ecdsa-with-SHA2 (3) 2}
ecdsa-with-SHA384	{iso(1) member-body(2) us(840) ansi-X9-62(10045) signatures(4) ecdsa-with-SHA2(3) 3}

Certificates under this policy will use the following OIDs for identifying the algorithm for which the subject key was generated:

id-ecPublicKey	{iso(1) member-body(2) us(840) ansi-x9-62(10045) public key-type (2) 1}
rsaEncryption	{iso(1) member-body(2) us(840) rsadsi(113549) pkcs(1) pkcs-1(1) 1}

Where certificates contain an elliptic curve public key, the parameters shall be specified as one of the following named curves:

ansip256r1	{iso(1) member-body(2) us(840) 10045 curves(3) prime(1) 7}
ansip384r1	{iso(1) identified-organization(3) certicom(132) curve(0) 34}

The DoD PKI shall certify only public keys associated with the cryptographic algorithms identified above, and shall only use the signature cryptographic algorithms described above to sign certificates, certificate revocation lists and any other PKI product.

#### 7.1.4 Name Forms

In general, the DN will be used throughout the DoD X.500 Directories for lookups. All PKIs shall have the ability to generate and process DNs. Some communities or installations may choose to use other names, for example certificates used to implement a hardware protocol, where device addresses are most useful and certificate lookup is not performed. In this case, an alternate name form may be included in the subjectAltName extension. Any name form defining GeneralName in *Information Technology-Open Systems*

*Interconnection-The Directory: Part 8: Public-key and Attribute Certificate Frameworks [ISO 9594-8]* may be used, in accordance with the required profile (see Section 7.1.2).

Use of alternate name forms shall be defined in a CPS, including criticality, types, and name constraints.

### **7.1.5 Name Constraints**

No stipulation.

### **7.1.6 Certificate Policy Object Identifier**

Certificates issued under this policy shall assert the OID appropriate to the level of assurance with which it was issued, as defined in Section 1.2.

### **7.1.7 Usage of Policy Constraints Extension**

No stipulation.

### **7.1.8 Policy Qualifiers Syntax and Semantics**

Certificates issued under this policy shall not contain policy qualifiers.

### **7.1.9 Processing Semantics for the Critical Certificate Policies Extension**

This policy does not require the certificatePolicies extension to be critical. Relying Parties whose client software does not process this extension risk using certificates inappropriately.

## **7.2 CRL PROFILE**

CRL profiles are described in [DoD PROF].

### **7.2.1 Version Number(s)**

CRLs issued under this policy shall assert a version number as described in [ISO 9594-8].

### **7.2.2 CRL and CRL Entry Extensions**

CRLs issued by a Medium Assurance PKI may conform to the profile recommendations in [FPKI PROF], or may issue CRLs asserting no extensions. Any variance to these profiles shall be approved by the DoD PKI Program Management Office and documented in a CPS.

## **7.3 OCSP PROFILE**

### **7.3.1 Version Number(s)**

The DoD PKI shall use OCSP Version 1.

### **7.3.2 OCSP Extensions**

Appropriate extensions from [RFC 6960] may be used in OCSP requests and responses. If a request contains a nonce and the response does not contain the nonce, the Relying Party may process the response if the information is deemed reasonably current.



## **8 COMPLIANCE AUDIT AND OTHER ASSESSMENTS**

### **8.1 FREQUENCY AND CIRCUMSTANCES OF ASSESSMENT**

All CAs and OCSP Responders shall be audited on an annual basis. Internal NPE CAs may be audited on a triennial basis if no non-compliant findings were made on the prior compliance audit and no significant changes to policies, procedures, or operations occur during the three-year audit period.

The Services or Agencies shall also have the right to require periodic and aperiodic inspections of OCSP Responder operations to validate that the OCSP Responder is operating in accordance with the security practices and procedures described in its CPS. Additionally, all CAs have the right to require periodic and aperiodic inspections of subordinate CMA operations to validate that the subordinate CMA is operating in accordance with the security practices and procedures described in the subordinate's CPS. The CA will state the reason for any aperiodic inspection.

The PMA has the right to require aperiodic compliance audits of CMAs asserting this policy. The PMA shall state the reason for any aperiodic compliance audit. RAs and LRAs shall be audited aperiodically.

### **8.2 IDENTITY/QUALIFICATIONS OF ASSESSOR**

The auditor must demonstrate competence in the field of compliance audits and must be thoroughly familiar with the CMA's CPS. The compliance auditor must perform CA or Information System compliance audits as a primary responsibility. The CPS shall name the compliance auditor for each CMA.

### **8.3 ASSESSOR'S RELATIONSHIP TO ASSESSED ENTITY**

The compliance auditor and audited party shall have a contractual relationship for the performance of the compliance audit, or be sufficiently organizationally separated from the audited party to provide an unbiased, independent evaluation. To ensure independence and objectivity, the CA compliance auditor may not have served the entity in developing or maintaining the audited entity's facility or CPS.

### **8.4 TOPICS COVERED BY ASSESSMENT**

The purpose of a compliance audit shall be to verify that the audited party has in place, a system to assure the quality of the services that it provides, and that it complies with all of the requirements of this CP and its CPS. All aspects of the audited party's operation related to this CP shall be subject to compliance audit inspections.

### **8.5 ACTIONS TAKEN AS A RESULT OF DEFICIENCY**

When the compliance auditor finds a discrepancy between a CMA's operation and the stipulations of its CPS, the following actions must occur:

- The compliance auditor shall note the discrepancy;
- The compliance auditor shall notify the parties identified in Section 8.6 of the discrepancy; and,
- The audited party or auditor will propose a remedy, including expected time for completion, to the PMA.

If the compliance auditor finds a critical discrepancy that contributes to the ongoing compromise of sensitive information, the compliance auditor shall immediately report the issue to both the local authority (local base commander or ISSO) and the PMA to determine if the circumstances warrant the immediate shut down of operations, and/or the revocation of associated certificates. Such discrepancies could include, but are not limited to: detection of a successful attempt to compromise sensitive information; detection of an overt and intentional disregard for secure operations of the system; detection of a system configuration that causes the wide-spread public dissemination of sensitive information.

The PMA will determine the appropriate remedy, up to and including revocation or non-recognition of the audited party's certificate. Upon correction of the deficiency, the PMA may reinstate the CMA.

## **8.6 COMMUNICATIONS OF RESULTS**

The compliance auditor shall report the results of a CMA compliance audit to the PMA. The results will be reported to the audited CMA, and its superior CA if applicable, in accordance with Section 9.3. The implementation of remedies shall be communicated to the PMA. The PMA as the authorized party will determine the appropriateness of the remedy and may take additional measures as defined in Section 8.5. A special compliance audit may be required to confirm the implementation and effectiveness of the remedy.

## **9 OTHER BUSINESS AND LEGAL MATTERS**

### **9.1 FEES**

#### **9.1.1 Certificate Issuance or Renewal Fees**

No stipulation.

#### **9.1.2 Certificate Access Fees**

No stipulation.

#### **9.1.3 Revocation or Status Information Access Fees**

No stipulation.

#### **9.1.4 Fees for Other Services**

No stipulation.

#### **9.1.5 Refund Policy**

No stipulation.

### **9.2 FINANCIAL RESPONSIBILITY**

#### **9.2.1 Insurance Coverage**

No stipulation.

#### **9.2.2 Other Assets**

No stipulation.

#### **9.2.3 Insurance or Warranty Coverage for End-Entities**

No stipulation.

### **9.3 CONFIDENTIALITY OF BUSINESS INFORMATION**

#### **9.3.1 Scope of Business Confidential Information**

Not applicable. The DoD PKI shall not collect business confidential information.

#### **9.3.2 Information Not Within the Scope of Business Confidential Information**

Not applicable. Privacy information is addressed in Section 9.4.

#### **9.3.3 Responsibility to Protect Business Confidential Information**

Not applicable.

### **9.4 PRIVACY OF PERSONAL INFORMATION**

#### **9.4.1 Privacy Plan**

All Subscriber identifying information is protected by, and shall be maintained in accordance with, the Privacy Act of 1974, as implemented by DoD Directive 5400.11, *DoD Privacy Program* [DoDD 5400.11] and DoD Regulation 5400.11-R, *DoD Privacy Program* [DoD 5400.11-R].

### **9.4.2 Information Treated as Private**

When a CMA requests non-certificate information (e.g., identifying numbers, business or home addresses and telephone numbers) from the Subscriber, the CMA shall ensure that a Privacy Act Statement is furnished the Subscriber as provided for in [DoD 5400.11-R]. Such information will only be used to manage the certificates within an organization. Such information may only be disclosed, either within or without the Department, as authorized by [DoD 5400.11-R].

### **9.4.3 Information Not Deemed Private**

A certificate may contain information that is relevant and to effect secure transactions with the certificate. Such information may include, but is not limited to, Subscriber's Name, Subscriber Organization, Subscriber e-mail address, Subscriber EDI PI, etc. Such information may only be disclosed, either within or without the Department, as authorized by [DoD 5400.11-R].

### **9.4.4 Responsibility to Protect Private Information**

No stipulation.

### **9.4.5 Notice and Consent to Use Private Information**

DoD is not required to provide any notice or obtain the consent of the Subscriber in order to release the Subscriber information provided release, either within or without the Department, is authorized by [DoD 5400.11-R].

### **9.4.6 Disclosure Pursuant to Judicial or Administrative Process**

A CMA shall not disclose Subscriber sensitive information to any third party except as authorized by [DoD 5400.11-R]. Disclosure in response to an order of a court of competent jurisdiction or where disclosure is required by the Freedom of Information Act constitute examples of authorized releases.

### **9.4.7 Other Information Disclosure Circumstances**

No stipulation.

## **9.5 INTELLECTUAL PROPERTY RIGHTS**

The US DoD shall retain ownership and all intellectual property rights for any public key certificates and private keys that it issues.

## **9.6 REPRESENTATIONS AND WARRANTIES**

### **9.6.1 CA Representations and Warranties**

A CA who issues certificates that assert a policy defined in this document shall conform to the stipulations of this document, including:

- Providing to the PMA a CPS, as well as any subsequent changes, for conformance assessment;
- Conforming to the stipulations of the approved CPS;
- Ensuring that registration information is accepted only from RAs who understand and are obligated to comply with this policy;
- Including only valid and appropriate information in the certificate, and maintaining evidence that due diligence was exercised in validating the information contained in the certificate;
- Ensuring that obligations are imposed on Subscribers in accordance with Section 9.6.3, and informing Subscribers of the consequences of not complying with those obligations;
- Revoking the certificates of Subscribers found to have acted in a manner counter to those obligations;
- Ensuring that obligations are imposed on non-US Government Subscribers in accordance with the provisions of Section 9.8; and,
- Operating or providing for the services of an on-line repository that satisfies the obligations under Section 2, and informing the repository service provider of those obligations if applicable.

A CA who is found to have acted in a manner inconsistent with these obligations is subject to action as described in Section 8.5.

### **9.6.2 RA Representations and Warranties**

An RA who performs registration functions as described in this policy shall comply with the stipulations of this policy, and comply with a CPS approved by the DoD PMA for use with this policy. An RA who is found to have acted in a manner inconsistent with these obligations is subject to revocation of RA responsibilities.

The division of PKI duties between the CA and RA may vary among implementations of this certificate policy as provided in the CA's CPS. For example, the RA may collect information for the CA only, or it may build the certificate for the CA to sign. CAs are ultimately responsible for ensuring that the certificates they sign are generated and managed in accordance with this policy, and shall ensure that certificate generation, management, and revocation functions are performed only by those who understand the associated certificate policy requirements, and who agree to abide by them. Security requirements imposed on the CA are likewise imposed on any RAs to the extent that the RAs are responsible for the information collected.

### **9.6.3 Subscriber Representations and Warranties**

Subscribers shall:

- Accurately represent themselves in all communications with the PKI;
- Protect their private keys at all times, in accordance with this policy, as stipulated in their certificate acceptance agreements, and local procedures;
- Notify, in a timely manner, the CMA that issued their certificates of suspicion that their private keys are compromised or lost. Such notification shall be made directly, or indirectly through mechanisms consistent with the CA's CPS;
- Abide by all the terms, conditions, and restrictions levied upon the use of their private keys and certificates; and,
- Use certificates provided by the DoD PKI only for transactions related to DoD business.

PKI Sponsors (as described in Section 5.2.1.4) assume the obligations of Subscribers for the certificates associated with their components.

### **9.6.4 Relying Party Representations and Warranties**

Parties who rely upon the certificates issued under a policy defined in this document shall:

- Use the certificate for the purpose for which it was issued, as indicated in the certificate information (e.g., the key usage extension);
- Check each certificate for validity, using procedures described in the X.509 standard [ISO 9594-8], prior to reliance;
- Establish trust in the CA who issued a certificate by verifying the certificate path in accordance with the guidelines set by the X.509 Version 3 Amendment; and,
- Preserve original signed data, the applications necessary to read and process that data, and the cryptographic applications needed to verify the digital signatures on that data for as long as it may be necessary to verify the signature on that data. Note: data format changes associated with application upgrades will often invalidate digital signatures and shall be avoided.

### **9.6.5 Representations and Warranties of Other Participants**

Repositories that support a CA in posting information as required by this policy shall:

- Maintain availability of the information as required by the certificate information posting and retrieval stipulations of this policy; and,
- Provide access control mechanisms sufficient to protect repository information as described in Section 2.4.

An OCSP Responder that has been issued a DoD PKI certificate shall conform to the stipulations of this document including operating under a CPS that has been approved by the PMA. Such OCSP Responders

who are found to have acted in a manner inconsistent with these obligations are subject to action as described in Section 8.5.

All OCSP Responders that provide DoD Relying Parties with revocation status for certificates that assert a policy defined in this document shall conform to the following:

- Providing to the PMA a CPS, as well as any subsequent changes;
- Conforming to the stipulations of the submitted CPS;
- Ensuring that certificate and revocation information is accepted only from valid DoD approved CAs; and,
- Maintaining evidence that due diligence was exercised in validating the certificate status.

## **9.7 DISCLAIMERS OF WARRANTIES**

No stipulation.

## **9.8 LIMITATIONS OF LIABILITY**

A non-US Government Subscriber or entity will have no claim against the DoD arising from or relating to any certificate issued by a DoD CA or a CMA's determination to terminate a certificate. DoD is not liable for any losses, including direct or indirect, incidental, consequential, special, or punitive damages.

## **9.9 INDEMNITIES**

No stipulation.

## **9.10 TERM AND TERMINATION**

### **9.10.1 Term**

This CP shall remain in effect until either a new DoD X.509 CP is approved by the PMA or the DoD PKI is terminated.

### **9.10.2 Termination**

This CP shall survive any termination of the CA. The requirements of this CP remain in effect through the end of the archive period for the last certificate issued.

### **9.10.3 Effect of Termination and Survival**

The responsibilities for protecting business confidential and personal information and DoD's intellectual property rights shall survive termination of this CP.

Intellectual property rights shall survive this CP in accordance with the IP laws of the United States.

## **9.11 INDIVIDUAL NOTICES AND COMMUNICATIONS WITH PARTICIPANTS**

Any CMA may be removed from their duties by their supervisor. Notice is effective when given; oral notification will be confirmed in writing.

If the termination is for convenience, contract expiration, re-organization, or other non-security related reason, and provisions have been made to continue compromise recovery within the timeframes specified in Section 5.7.4 (including destruction or continued protection of signing key), compliance and security audit, archive, and data recovery services, then neither the terminated CAs certificate, nor certificates signed by that CA, need to be revoked.

If provisions for maintaining these services cannot be made, then the CA termination will be handled as a CA compromise in accordance with Sections 5.7.3 and 5.7.4.

Prior to CA termination, CAs shall provide archived data to a PMA approved DoD archival facility.

## **9.12 AMENDMENTS**

### **9.12.1 Procedure for Amendment**

The PMA shall review this policy at least once every year. Errors, updates, or suggested changes to this document shall be communicated to the contact in Section 1.5.2. Such communication must include a description of the change, a change justification, and contact information for the person requesting the change.

The PMA for this policy shall publish information (including this policy) on a web site, consistent with DoD policies regarding web site contents.

The PMA will maintain a list of CAs asserting this policy (this responsibility may be delegated to a Root- or Intermediate-CA in practice). Certificate Policy updates shall be sent to those CAs. The CMA shall notify its Subscribers of any changes to the certificate policy via a mechanism described in its CPS.

### **9.12.2 Notification Mechanism and Period**

All policy changes under consideration by the PMA shall be disseminated to interested parties for a period of at least one month.

The PMA shall accept, accept with modifications, or reject the proposed change after completion of the review period.

### **9.12.3 Circumstances Under Which OID Must be Changed**

The policy OID shall only change if the change in the CP results in a material change to the trust by the non-DoD relying parties.

## **9.13 DISPUTE RESOLUTION PROVISIONS**

The PMA shall decide any disputes over the interpretation or applicability of the DoD PKI CP.

## **9.14 GOVERNING LAW**

The laws of the United States of America shall govern this policy.

## **9.15 COMPLIANCE WITH APPLICABLE LAW**

The PKI participants shall comply with applicable laws.

## **9.16 MISCELLANEOUS PROVISIONS**

### **9.16.1 Entire Agreement**

No stipulation.

### **9.16.2 Assignment**

No stipulation.

### **9.16.3 Severability**

Should it be determined that one section of this policy is incorrect or invalid, the other sections shall remain in effect until the policy is updated. Requirements for updating this policy are described in Section 9.12.1. Responsibilities, requirements, and privileges of this document are merged to the newer edition upon release of that newer edition.

### **9.16.4 Enforcement (Attorney's Fees and Waiver of Rights)**

No stipulation.

**9.16.5 Force Majeure**

No stipulation.

**9.17 OTHER PROVISIONS**

No stipulation.



## 10 ACRONYMS AND DEFINITIONS

This policy uses the following acronyms:

CA	Certification Authority
CC	Common Criteria
CMA	Certificate Management Authority
CMCS	COMSEC Material Control System
CNSS	Committee on National Security Systems
COMSEC	Communications Security
CONOP	Concept of Operations (document)
CP	Certificate Policy
CPS	Certification Practice Statement
CRL	Certificate Revocation List
DAA	Designated Approving Authority
DN	Distinguished Name
DoD	Department of Defense
DSA	Digital Signature Algorithm
DSS	Digital Signature Standard
EAL	Evaluation Assurance Level
FIPS	Federal Information Processing Standard
FPKI	Federal Public Key Infrastructure
GS	General Schedule (Federal civilian level)
HAG	High Assurance Guard
I&A	Identification and Authentication
ICRL	Indirect Certificate Revocation List
ID	Identity (also, a credential asserting an identity)
INE	In-Line Network Encryptor
IP	Internet Protocol
ISSO	Information System Security Officer
KEA	Key Exchange Algorithm
KES	Key Escrow System
KRA	Key Recovery Authority
MD	Maryland
NIPRNET	Non-classified Internet Protocol Router Network
NIST	National Institute of Standards and Technology
NPE	Non-Person Entity
NSA	National Security Agency
NSSI	National Security System Information
OCSP	Online Certificate Status Protocol
OID	Object Identifier
PAA	Policy Approving Authority
PIN	Personal Identification Number
PIV	Personal Identity Verification
PKCS	Public Key Cryptography Standard
PKI	Public Key Infrastructure
PMA	Policy Management Authority
PSS	Probabilistic Signature Scheme
RA	Registration Authority
RD	Road
RSA	Rivest, Shamir, Adleman (encryption algorithm)
S/MIME	Secure Multipurpose Internet Mail Extensions
SBU	Sensitive But Unclassified
SCI	Sensitive Compartmented Information
SIPRNET	Secret Internet Protocol Router Network
SSL	Secure Sockets Layer
STE	Suite

UNCLASSIFIED

TA	Trusted Agent
TLS	Transport Layer Security
US	United States
VME	Virtual Machine Environment

The primary source of definitions is the *Committee on National Security Systems (CNSS) Glossary* [CNSSI 4009]; other sources are used if [CNSSI 4009] had no entry for the term, or if another source provides a definition more appropriate to PKI. If no reference is given, the definition is ad hoc.

access	Ability to make use of any information system (IS) resource. [CNSSI 4009]
access control	The process of granting or denying specific requests: (1) for obtaining and using information and related information processing services; and (2) to enter specific physical facilities (e.g., Federal buildings, military establishments, and border crossing entrances). [CNSSI 4009]
accreditation	Formal declaration by a designated accrediting authority (DAA) or principal accrediting authority (PAA) that an information system is approved to operate at an acceptable level of risk, based on the implementation of an approved set of technical, managerial, and procedural safeguards. [CNSSI 4009]
activate	To make a cryptographic module operative by providing activation data to cryptographic module in order to permit an authenticated operator to perform one or more of the services allowed within an authorized role
activation data	A pass-phrase, personal identification number (PIN), biometric data, or other mechanisms of equivalent authentication robustness used to protect access to any use of a private key, except for private keys associated with System or Device certificates.
applicant	The Subscriber is sometimes also called an "applicant" after applying to a certification authority for a certificate, but before the certificate issuance procedure is completed. [ABADSG, footnote 32]
Approving Authority	Senior-level official within a U.S. Service, DoD Agency, or Civil Department/Agency who is responsible for approving the establishment of CA operations within their respective organizations.
archive	Long-term, physically separate storage.
Attribute Authority	An entity recognized by a CMA as having the authority to verify the association of attributes to an identity.
audit	Independent review and examination of records and activities to assess the adequacy of system controls, to ensure compliance with established policies and operational procedures. [CNSSI 4009]
audit data	A chronological record that reconstructs and examines the sequence of activities surrounding or leading to a specific operation, procedure, or event in a security relevant transaction from inception to final result. [CNSSI 4009, "audit trail"]
authentication	A security measure designed to protect a communications system against acceptance of fraudulent transmission or simulation by establishing the validity of a transmission, message, originator, or a means of verifying an individual's eligibility to receive specific categories of information. [CNSSI 4009]

UNCLASSIFIED

Authorizing Official	A senior (federal) official or executive with the authority to formally assume responsibility for operating an information system at an acceptable level of risk to organizational operations (including mission, functions, image, or reputation), organizational assets, individuals, other organizations, and the Nation. [CNSSI 4009]
backup	Copy of files and programs made to facilitate recovery if necessary. [CNSSI 4009]
binding	Process of associating two related elements of information. [CNSSI 4009]
biometric	A physical or behavioral characteristic of a person.
CA facility	The collection of equipment, personnel, procedures and structures that are used by a Certification Authority to perform certificate issuance and revocation.
CA Hosted OCSP Responder	An OCSP Responder that is collocated with the CA and is hosted in the CA Enclave with protection equivalent to that provided to the CA signing key.
certificate	A digital representation of information which at least (1) identifies the certification authority issuing it, (2) names or identifies its Subscriber, (3) contains the Subscriber's public key, (4) identifies its operational period, and (5) is digitally signed by the certification authority issuing it. [ABADSG]
Certificate Management Authority (CMA)	A Certification Authority, Registration Authority, Local Registration Authority, or OCSP Responder that has been issued a DoD PKI certificate.
certificate-related information	Information, such as a Subscriber's postal address, that is not included in a certificate, but that may be used by a CA in certificate management.
Certificate Status Authority	A trusted entity that provides on-line verification to a Relying Party of a subject certificate's trustworthiness, and may also provide additional attribute information for the subject certificate.
Certification Authority (CA)	An authority trusted by one or more users to create and assign certificates. [ISO 9594-8]
client (application)	A system entity, usually a computer process acting on behalf of a human user, that makes use of a service provided by a server.
compromise	Disclosure of information to unauthorized persons, or a violation of the security policy of a system in which unauthorized intentional or unintentional disclosure, modification, destruction, or loss of an object may have occurred. [CNSSI 4009]
confidentiality	Preserving authorized restrictions on information access and disclosure, including means for protecting personal privacy and proprietary information. [CNSSI 4009]
CRL scope	The set of certificates that could appear on a given CRL. Each CRL has a particular scope. For example, the scope could be "all certificates issued by CA X", "all CA certificates issued by CA X", "all certificates issued by CA X that have been revoked for reasons of key compromise and CA compromise", or a set of certificates based on arbitrary local information, such as "all certificates issued to the NIST employees located in Boulder". [RFC 5280]

UNCLASSIFIED

cryptographic module	The set of hardware, software, firmware, or some combination thereof that implements cryptographic logic or processes, including cryptographic algorithms, and is contained within the cryptographic boundary of the module. [FIPS 140]
cryptoperiod	Time span during which each key setting remains in effect. [CNSSI 4009]
dual use certificate	A certificate that is intended for use with both digital signature and data encryption services.
e-commerce	The use of network technology (especially the Internet) to buy or sell goods and services.
encrypted network	A network that is protected from outside access by NSA approved high-grade (Type I) cryptography.
encryption certificate	A certificate containing a public key that is used to encrypt or decrypt electronic messages, files, documents, or data transmissions, or to establish or exchange a session key for these same purposes. The process of storing protecting and escrowing the private component of the key pair associated with the encryption certificate is sometimes referred to as key management. An encryption certificate asserts a key usage of key encypherment or key agreement.
firewall	Gateway that limits access between networks in accordance with local security policy. [CNSSI 4009]
High Assurance Guard (HAG)	An enclave boundary protection device that controls access between a local area network that an enterprise system has a requirement to protect, and an external network that is outside the control of the enterprise system, with a high degree of assurance.
hypervisor	Computer software, firmware or hardware that creates and runs virtual machines. A hypervisor uses native execution to share and manage hardware, allowing for multiple environments which are isolated from one another, yet exist on the same physical machine. Also known as an isolation kernel or virtual machine monitor.
Information System Security Officer (ISSO)	Individual assigned responsibility by the senior agency information security officer, authorizing official, management official, or information system owner for maintaining the appropriate operational security posture for an information system or program. [CNSSI 4009]
insider threat	An entity with authorized access that has the potential to harm an information system through destruction, disclosure, modification of data, and/or denial of service.
integrity	Guarding against improper information modification or destruction, and includes ensuring information non-repudiation and authenticity. [CNSSI 4009]
intellectual property	Useful artistic, technical, and/or industrial information, knowledge or ideas that convey ownership and control of tangible or virtual usage and/or representation.
intermediate CA	A CA that is subordinate to another CA, and has a CA subordinate to itself.

UNCLASSIFIED

key escrow	The retention of the private component of the key pair associated with a Subscriber's encryption certificate to support key recovery.
key exchange	The process of exchanging public keys (and other information) in order to establish secure communication.
key generation material	Random numbers, pseudo-random numbers, and cryptographic parameters used in generating cryptographic keys.
Local Registration Authority (LRA)	A type of Registration Authority with responsibility for a local community.
naming authority	An organizational entity responsible for assigning distinguished names (DNs) and for assuring that each DN is meaningful and unique within its domain.
National Security System	Any information system (including any telecommunications system) used or operated by an agency or by a contractor of an agency, or other organization on behalf of an agency, the function, operation, or use of which involves intelligence activities; involves cryptologic activities related to national security; involves command and control of military forces; involves equipment that is an integral part of a weapon or weapons system; or is critical to the direct fulfillment of military or intelligence missions, but does not include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications). [CNSSI 4009]
NIPRNET	Non-classified Internet Protocol Router Network; part of the Defense Information Infrastructure.
nonce	A random or non-repeating value that is included in data exchanged by a protocol, usually for the purpose of guaranteeing the transmittal of live data rather than replayed data, thus detecting and protecting against replay attacks. [CNSSI 4009]
non-repudiation	Protection against an individual falsely denying having performed a particular action. Provides the capability to determine whether a given individual took a particular action such as creating information, sending a message, approving information, and receiving a message. [CNSSI 4009]
Non-Person Entity (NPE)	Workstations, guards and firewalls, routers, in-line network encryptors (INEs), services and applications (e.g., database, FTP, web service), and other infrastructure components.
OCSP Responder	A trusted entity that provides on-line revocation status of certificates to Relying Parties. The OCSP Responder is either explicitly trusted by the Relying Party, or through a CA that Relying Party trusts, or through the CA that issued the certificate whose revocation status is being sought.
outside threat	An unauthorized entity from outside the domain perimeter that has the potential to harm an Information System through destruction, disclosure, modification of data, and/or denial of service.
physically isolated network	A network that has no electronic connection to individuals outside a physically controlled space.
PKI Sponsor	Fills the role of a Subscriber for non-human system components or organizations that are named as public key certificate subjects, and is

UNCLASSIFIED

responsible for meeting the obligations of Subscribers as defined throughout this document.

Policy Management Authority (PMA)	Body established to oversee the creation and update of Certificate Policies, review Certification Practice Statements, review the results of CA audits for policy compliance, evaluate non-domain policies for acceptance within the domain, and generally oversee and manage the PKI certificate policies.
privacy	State in which data and system access is restricted to the intended user community and target recipient(s).
Public Key Infrastructure (PKI)	Framework established to issue, maintain, and revoke public key certificates.
Registration Authority (RA)	Entity responsible for identification and authentication of certificate subjects that have automated equipment for the communication of applicant data to Certification Authorities and does not sign or directly revoke certificates.
Root CA	In a hierarchical PKI, the CA whose public key serves as the most trusted datum (i.e., the beginning of trust paths) for a security domain.
re-key (a certificate)	To create a new certificate with the same name and authorizations as the old one, but with a new key, extended validity period and new serial number.
Relying Party	An entity that relies on the validity of the binding of the Subscriber's name to a public key to verify or establish the identity and status of an individual, role, or system or device; the integrity of a digitally signed message; the identity of the creator of a message; or confidential communications with the Subscriber. [CNSSI 4009]
renew (a certificate)	To create a new certificate with the same name, key and authorizations as the old one, but with an extended validity period and new serial number.
repository	A trustworthy system for storing and retrieving certificates or other information relevant to certificates. [ABADSG] A repository may be a single system or multiple distributed systems acting as a single logical system.
risk	An expectation of loss expressed as the probability that a particular threat will exploit a particular vulnerability with a particular harmful result.
risk tolerance	The level of risk an entity is willing to assume in order to achieve a potential desired result.
server	A system entity that provides a service in response to requests from clients.
signature certificate	A public key certificate that contains a public key intended for verifying digital signatures rather than encrypting data or performing any other cryptographic functions.
SIPRNET	Secret Internet Protocol Router Network; part of the Defense Information Infrastructure.
subordinate CA	In a hierarchical PKI, a CA whose certificate signing key is certified by another CA, and whose activities are constrained by that other CA. (See superior CA.)

UNCLASSIFIED

Subscriber	An entity that (1) is the subject named or identified in a certificate issued to such an entity, and (2) holds a private key that corresponds to a public key listed in that certificate. [ABADSG] Current Subscribers possess valid DoD-issued certificates.
superior CA	In a hierarchical PKI, a CA who has certified the certificate signing key of another CA, and who constrains the activities of that CA. (See subordinate CA.)
system equipment configuration	A comprehensive accounting of all system hardware and software types and settings.
system high	The highest security level supported by an information system. [CNSSI 4009]
technical non-repudiation	The contribution public key mechanisms make to the provision of technical evidence supporting a non-repudiation security service.
threat	Any circumstance or event with the potential to adversely impact organizational operations (including mission, functions, image, or reputation), organizational assets, individuals, other organizations, or the Nation through an information system via unauthorized access, destruction, disclosure, modification of information, and/or denial of service. [CNSSI 4009]
trust anchor	See Trusted Certificate.
trust list	Collection of Trusted Certificates used by Relying Parties to authenticate other certificates.
Trusted Agent	Entity authorized to act as a representative of a Certificate Management Authority in performing Subscriber identity validation during the registration process. Trusted Agents do not have automated interfaces with Certification Authorities.
trusted certificate	A certificate that is trusted by the Relying Party on the basis of secure, authenticated delivery. The public keys included in Trusted Certificates are used to start certification paths. Also known as a "trust anchor."
trusted timestamp	A digitally signed assertion by a trusted authority that a specific digital object existed at a particular time.
two person control	The continuous surveillance and control of material at all times by a minimum of two authorized individuals, each capable of detecting incorrect or unauthorized procedures with respect to the task being performed and each familiar with established security requirements. [CNSSI 4009]
update (a certificate)	The act or process by which data items bound in an existing public key certificate, especially authorizations granted to the subject, are changed by issuing a new certificate.
Virtual Machine Environment	A computer system that provides the functionality of a physical machine in a platform-independent environment. It provides the functionality needed to execute an entire operating system.
zeroize	A method of erasing electronically stored data by altering the contents of the data storage so as to prevent the recovery of the data. [FIPS 140]

UNCLASSIFIED

UNCLASSIFIED



## 11 REFERENCES

This policy references the following documents:

ABADSG	American Bar Association, <i>Digital Signature Guidelines</i> , 1 August 1996.
COMMON CP	X.509 Certificate Policy For The U.S. Federal PKI Common Policy Framework, V 2, September 1, 2020
CNSSI 1253	CNSS Instruction 1253, <i>Security Categorization and Control Selection for National Security Systems</i> , 27 March 2014.
CNSSI 4005	CNSS Instruction 4005, <i>Safeguarding Communications Security (COMSEC) Facilities and Materials</i> , 22 August 2011 (with amendments).
CNSSI 4009	CNSS Instruction 4009, <i>Committee on National Security Systems (CNSS) Glossary</i> , 6 April 2015.
DoD 5400.11-R	DoD Regulation 5400.11, <i>DoD Privacy Program</i> , 14 May 2007.
DoDD 5400.11	DoD Directive 5400.11, <i>DoD Privacy Program</i> , 29 October 2014.
DoDI 5015.02	DoD Instruction 5015.02, <i>DoD Records Management Program</i> , 17 August 2017.
DoDI 8510.01	DoD Instruction 8510.01, <i>Risk Management Framework (RMF) for DoD Information Technology (IT)</i> , 12 March 2014.
DoDI 8520.03	DoD Instruction 8520.03, <i>Identity Authentication for Information Systems</i> , 13 May 2011.
DoD PROF	<i>DoD PKI NIPRNet Certificate and Certificate Revocation List Profiles</i> , Version 1, 9 May 2018.
FCOM PROF	<i>X.509 Certificate and Certificate Revocation List (CRL) Extensions Profile for the Shared Service Providers (SSP) Program</i> , Version 1.8, 17 July 2017.
FIPS 140	NIST FIPS PUB 140-2, <i>Security Requirements for Cryptographic Modules</i> , 25 May 2001.
FIPS 186	NIST FIPS PUB 186-4, <i>Digital Signature Standard</i> , 27 July 2013.
FIPS 201	NIST FIPS PUB 201-2, <i>Personal Identity Verification (PIV) of Federal Employees and Contractors</i> , August 2013.
FPKI PROF	<i>Federal PKI X.509 Certificate and CRL Extensions Profile</i> , Version 1.2, 5 May 2015.
ISO 9594-8	<i>Information Technology-Open Systems Interconnection-The Directory: Part 8: Public-key and Attribute Certificate Frameworks</i> , May 2017.
PKCS 1	RSA Laboratories, <i>RSA Cryptography Standard</i> , Version 2.2, 27 October 2012.
RFC 3647	<i>X.509 Internet Public Key Infrastructure Certificate Policy and Certification Practices Framework</i> , November 2003.
RFC 4210	<i>Internet X.509 Public Key Infrastructure Certificate Management Protocol (CMP)</i> , September 2005.
RFC 5280	<i>Internet X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL) Profile</i> , May 2008.
RFC 6960	<i>X.509 Internet Public Key Infrastructure Online Certificate Status Protocol – OCSP</i> , June 2013.
SP 800-57	NIST Special Publication 800-57, <i>Recommendation for Key Management – Part 1: General (Revision 4)</i> , January 2016.
SP 800-79	NIST Special Publication 800-57, <i>Guidelines for the Authorization of Personal Identity Verification Card Issuers (PCI) and Derived PIV Credential Issuers (DPCI)</i> , July 2015.
SP 800-157	NIST Special Publication 800-57, <i>Guidelines for Derived Personal Identity Verification (PIV) Credentials</i> , December 2014.

## 12 SUMMARY OF CHANGES TO DOD X.509 CERTIFICATE POLICY, VERSION 10

### Version 10.1, 19 February 2010

Change	Sections	Change Summary
2009-01	4.9.13 - 4.9.16	Added certificate suspension and restoration requirements.

### Version 10.2, 4 May 2011

Change	Sections	Change Summary
2011-01	Multiple	Added a medium NPE assurance level.

### Version 10.3, 16 February 2012

Change	Sections	Change Summary
2011-02	4.9.3	Allowed an automated process from an authoritative data source to request revocations without a human in the loop.
2011-03	Multiple	Added Medium Assurance OIDs at 112 and 128 bits of cryptographic strength; renamed High Assurance to FORTEZZA and realigned or removed all High Assurance requirements; added a Peer Interop OID to allow for identification of external PKIs that are not comparable with Medium Assurance but with which DoD decides to cross certify.
2011-04	1.4	Aligned the Certificate Usage section with DoD Instruction 8520.03.

### Version 10.4, 21 June 2012

Change	Sections	Change Summary
2012-01	Multiple	Added DoD Key Recovery Policy requirements.

### Version 10.5, 23 January 2013

Change	Sections	Change Summary
2012-02	1.5.4, 2.2, 5.3.1, 5.4.1, 5.5.5, 6.8	Clarified requirements for compliance to the Federal Bridge CP: compliance analyses performed by an independent party; publish cross certificates issued by or to the PKI; trusted roles supporting CA operations held by US Citizens; set time on the PKI and make audit entries when time is changed.
2012-03	6.2.3, 10	Clarified which private keys may be escrowed.
2012-04	3.2.3.3	Added a requirement related to a change of PKI Sponsor.
2012-05	5.6	Removed the restriction on CA signing key usage relative to the maximum life of Subscriber certificates.
2012-06	6.2.6	Added a requirement to remove PKCS #12 files from Subscriber systems.
2012-07	6.1.5, 6.1.7, 10	Clarified the requirements related to single vs. dual use certificates for applications, and clarified which certificates may have non-repudiation.

**Version 10.6, 20 May 2018**

<b>Change</b>	<b>Sections</b>	<b>Change Summary</b>
2016-01	7.2.1	Restricted CAs to only issue Version 2 Certificate Revocation Lists.
2016-02	1.2, 6.1.5, 7.1.3	Added new certificate policy OIDs and requirements for issuing certificates with 192 bits of security.
2016-03	Multiple	Deprecated the use of the FORTEZZA certificate policy OID.
2016-05	1.2, 3.2.5	Added new certificate policy OID and requirements for issuing certificates that identify system administrators.
2017-01	Multiple	Added new certificate policy OIDs and requirements for the DoD Internal NPE PKI.
2018-01	6.2.1, 6.4.3	Added requirements for protecting private keys for multiple end entities when aggregated in a single cryptographic module.
2018-02	5.4, 5.4.1, 5.5, 6.5.1, 6.6.2, 10	Added specific controls for the use of a Virtual Machine Environment to support CA or RA systems.
2018-03	4.9.3	Changed the requirement for direct CMA action to perform revocation to allow for more flexibility in how revocations are processed.
2018-04	Multiple	Editorial updates and changes required by updates to referenced documents.
2018-05	Multiple	Allowed RCVS to obtain Delegated Trust Model certificates from Elliptic Curve Cryptography CAs; accounted for Delegated Trust Model certificates automatically issued by Red Hat CAs on initially stand up; removed references to High Volume and Low Volume responders; simplifies key size and algorithm OID requirements.

**Version 10.7, 3 June 2021**

<b>Change</b>	<b>Sections</b>	<b>Change Summary</b>
2020-01	1.2, 1.4.1, 6.1.7, & 7.1.3	Add the Common Policy OIDs that are asserted in certificates issued by the DoD PKI. Deprecate the "DoD PIV" OIDs which were added, but never used.
2020-02	1.2, 4.9.3, 6.1.5, 7.1.3	Make changes to the CP to clarify that DoD is no longer issuing certificates that use SHA-1 or RSA 1024.
2021-01	1.2, 3.2.4	Add the Federal Common Policy Framework (Common CP) Derived Personal Identification Verification (PIV) Policy Object Identifiers (OID) to the DoD CP.