

DOE Grids
Certificate Policy
And
Certification Practice Statement
Version 2.5

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1 Introduction

1.1 Overview

This document is structured according to RFC 2527 [RFC2527]. Not all sections of RFC 2527 are used. Sections that are not included have a default value of “No stipulation”.

This document describes the set of rules and procedures established by the DOE Grids Policy management Authority for the operations of the DOE Grids PKI service. ESnet operates the DOE Grids Public Key infrastructure under the authority of the DOE Grids PMA. ESnet and the data center housing the PKI servers are located at Lawrence Berkeley National Laboratory, Berkeley, California.

This document will include both the Certificate Policy and the Certification Practice Statement for the DOE Grids PKI. The general architecture is a certificate authority with multiple Registration Authorities. The certificate authority is a subordinate of the ESnet root CA. There is a Registration Authority for each DOE GRIDS site or Virtual Organization. Each Registration Authority is responsible for the vetting of user identities of their community. Special guidelines for the individual RAs of the DOE GRIDS PKI are covered in the specific VO or Site Appendixes in this document.

It is the intent of the DOE Grids PKI to issue Identity and service certificates for use in Grids. These certificates are for DOE researchers and their colleagues. These certificates will be compatible with the Globus middleware that is used on these Grids.

The DOE GRIDS PKI is based on Iplanet Certificate Management System running on a Solaris platform. This configuration directly influences the architecture supported.

1.1.1 General Definitions

Activation Data

Data values, other than keys, that are required to operate cryptographic modules and that need to be protected (e.g., a PIN, a pass phrase, or a manually-held key share).

Certification Authority (CA)

The entity / system that issues X.509 identity certificates (places a subject name and public key in a document and then digitally signs that document using the private key of the CA)

Certificate Policy (CP)

A named set of rules that indicates the applicability of a certificate to a particular community and/or class of application with common security requirements. For example, a particular certificate policy might indicate applicability of a type of certificate to the authentication of electronic data interchange transactions for the trading of goods within a given price range.

Certification Practice Statement (CPS)

A statement of the practices, which a certification authority employs in issuing certificates.

Community RM

One or more RMs that serve multiple, low request rate, sites / Virtual Organizations.

DOE Grids PKI

Refers to the whole of the PKI including the electronic services, the CA managers, RA's, RAg's.

DOE Grids PKI members

Refers to the CA managers and the RA Points of Contact, who comprise a large subset of the PMA.

DOE Grids PKI service

Refers to the electronic services of the PKI, computers, web interfaces, email, etc.

Host Certificate

A Certificate for server certification and encryption of communications (SSL/TSL). It will represent a single machine. Host Certificates are used internally by the PKI service and are not issued to other sites/VOs

Person Certificate

A certificate used for authentication to establish a Grid Person Identity. It will represent an individual person.

Policy Management Authority (PMA)

For the DOEGrids PKI this is a committee composed of the CA managers and representatives from the site/VO Registration Authorities. The PMA has direct responsibility for the CP/CPS and oversight of ESnet operations of the PKI.

Policy Qualifier

The Policy-dependent information that accompanies a certificate policy identifier in an X.509 certificate.

Point of Contact

The member of a site/VO RA that has been chosen to handle all communications about policy matters with the DOE GRIDS PMA.

Private RM

RMs that serve high certificate request rate sites / Virtual Organizations, and that are operated by the site/VO.

Registration Authority (RA)

An entity that is responsible for identification and authentication of certificate subjects, but that does not sign or issue certificates (i.e., an RA is delegated certain tasks on behalf of a CA).

Registration Agent (RAg) or “Agent”

RAg is the entity that interacts with the RM in order to cause the CA to issue certificates.

Registration Manager (RM)

The RM is a front-end Web server for the CA that provides a Web user interface for CA subscribers and agents. The RM forwards certificate-signing requests to the actual CA (DOE GRIDS) to issue X.509 certificates.

Relying Party

A recipient of a certificate who acts in reliance on that certificate and/or digital signatures verified using that certificate.

Security Incident

An incident that has the potential of private key loss or compromise, regardless of if the compromise or loss was successful. Such incidents include but are not limited to user credential compromise, privilege escalation on systems known to contain private keys, accidental exposure of private keys to unauthorized third parties or loss of a private key.

Service Certificate

A certificate for a particular service running on a host. It will represent a single service on a single host.

Set of provisions

A collection of practice and/or policy statements, spanning a range of standard topics, for use in +expressing a certificate policy definition or CPS and employing the approach described in this framework.

Subscriber

Or sometimes called End Entity is the person who applied for and was issued a certificate.

Virtual Organization (VO)

An organization that has been created to represent a particular research or development effort independent of the physical sites that the Scientist or Engineers work at. (i.e. PPDG, FNC, EDG, etc).

1.2 Identification

Document title:

DOE Grids CA Certificate Policy and Certification Practice Statement

Document version:

2.4

Document date:
May 31, 2004.

OID: [ESnet].ERmember.DOEGrids.Security.CP

1.2.840.113612.3.7.4.1 (get new OID, EGEE, put old OID's in change log and web history)

1.3 Community and Applicability

1.3.1 Certification Authorities

ESnet will manage and operate the DOEGrids PKI. This is to include the Off-line Root CA, On-line CA and all the Registration Managers located at ESnet data center. The architecture supports the deployment of remote Registration Managers. None are currently deployed. If they are deployed the management and operations of the remote Registration Manager is the responsibility of the site or VO. Access to the Registration managers are by a web browser. Web browsers or other client software is the responsibility of the client not ESnet. Currently only Netscape 4.79 + or IE 5.0 + are supported. The following is a list of the PKI components:

Component	Location	Function
Root CA	ESnet Data Center	Signs subordinate CAs
DOE Grids CA	ESnet Data Center	Signs Subscriber, host and Service Certificates
DOE Grids Community RM	ESnet Data Center	Creates Certificate Signed Requests, Agents use to approve certificate requests
DOE Grids site/VO RM	ESnet Data Center	For Large Sites/VOs that want ESnet to operate their RM for them.
DOE Grids Remote RMs	Sites/VO Data Centers	For large DOE Grid sites/VOs that choose to run their own RM.
DOE Grids LDAP directory	ESnet Data Center	The DOE Grids CA publishes certificates and other information to the directory. The directory is public and read only.
Subordinate CAs	Sites/VO Data Centers	For sites/VOs that choose to run their own CA.
Subscriber Web browsers	Subscriber Desk tops	This is the standard Subscriber interface to the RM. It is also used by Agents for reviewing Certificate requests. The LDAP Directory also provides a web interface.

1.3.2 Registration Authorities

The DOE Grids PKI consists of a number of individual RAs representing a DOE site or Virtual organization (VO). ESnet maintains a browser accessible shared community Registration Manager for use by the DOE Grids RAs. This interface can be used to:

- Approve or Reject the certificate request
- Initiate certificate revocations
- Search for certificates

1.3.3 End Entities

DOE GRIDS PKI issues Person, Host and Service certificates to scientists, engineers, graduate students, and others working on Department of Energy Scientific Research programs as allowed in the ESnet AUP (<http://es.net/hypertext/esnet-aup.html>).

1.3.4 Applicability

See section 1.1.1 for definition of certificate types.

Person certificates can be used to authenticate a person to relying sites that have agreed to accept certificates from the DOE Grids CA. This authentication may require the signing of Globus proxy certificates. It is expected that these sites will be supported by DOE funding or will be collaborating with such sites. While Person certificates may be used for other activities such as e-mail signing and encryption, these are not supported activities. These certificates are not suitable for legally binding digital signatures on documents.

Service certificates can be used to identify a named service on a specific host and for encryption of communication (TLS/SSL). These certificates may be used to authenticate the service to another Grid entity, possibly by signing Globus proxy certificates.

1.4 Contact Details

DOE GRIDS PKI is operated by **ESnet** and managed by a Policy Management Authority. The members of the PMA can be found on the project web site (<http://www.doegrids.org/pages/doegridspma.html>)

Contact person for questions related to this document is the chairman of the PMA. The PMA chairman and his/her contact information:

Tony J. Genovese
One Cyclotron Road, B50A 3131
Berkeley, CA 94706
phone: +1 510 486 4003
fax: +1 510 486 4790
e-mail: Tony@es.net

Contact information regarding other communications with the DOEGrids PKI, including security incidents, is maintained at <http://www.doegrids.org/>
The following email addresses and phone numbers can be used to request information or report a problem (Security, access or service failures)

Information: Info@es.net
Trouble: Trouble.es.net

Trouble Numbers:

1 800 33-ESnet
1 800 333-7638
(toll free within the United States)

+1 510 486-7600
(outside the United States)

2 General Provisions

2.1 Obligations

2.1.1 CA and RA Obligations

DOE GRIDS CA will:

- Accept certification requests from entitled entities;
- Notify the RA of certification request and accept authentication results from the RA.
- Issue certificates based on the requests from authenticated entities;
- Notify the subscriber of the issuing of the certificate;
- Publish the issued certificates;
- Accept revocation requests according to the procedures outlined in this document;
- Authenticate entities requesting the revocation of a certificate, possibly by delegating this task to a DOE GRIDS RA;
- Issue a Certificate Revocation List (CRL);
- Publish the CRL issued.
- Keep audit logs of the certificate issuance process
- Notify the RA of security incidents that have been reported and coordinate incident response between it and the RA.
- Publish contact information for the CA.
- Notify RA Points of Contact whenever contact information for the CA changes.

•

A DOE GRIDS RA will:

- Accept authentication requests from the DOE GRIDS CA;
- Authenticate entity making the certification request according to procedures outlined in this document;
- Notify the DOE GRIDS CA when authentication is completed for a certification or revocation request;
- Accept revocation requests according to the procedures outlined in this document;
- Notify the DOE GRIDS CA of all revocation requests;
- Authenticate entity making revocation request according to procedures outlined in this document or the specific Appendix in this document that represents the Virtual Organization or DOE Site.
- Will not approve a certificate with a life time greater than 12 months. Each VO/Site will specify the life time of their certificates in their specific appendix.

- Additional guidelines are described in Appendix A and the individual VO Appendix included in this document.
- Notify CA of security incidents. Notification should be made as soon as possible, ideally within 12 hours of initial knowledge of incident.
- Publish contact information for the RA
- Notify the CA whenever the contact information for the RA changes.

2.1.2 Subscriber Obligations

Subscribers must:

- Read and adhere to the procedures published in this document;
- Read and adhere to the ESnet Acceptable Use Policy (<http://es.net/hypertext/esnet-aup.html>)
- Generate a key pair using a trustworthy method;
- Take reasonable precautions to prevent any loss, disclosure or unauthorized use of the private key associated with the certificate, including:
 - For Person Certificates
 - Selecting a pass phrase of at minimum 8 characters
 - Protecting the pass phrase from others
 - Always using the pass phrase to encrypt the stored private key.
 - Never sharing the private key with other users.
 - For Service Certificates
 - Storing them encrypted whenever possible.
 - They may be kept unencrypted on the host that they represent.
- Provide correct personal information and authorize the publication of the certificate
- Notify DOE GRIDS PKI immediately of any security incidents. Notification shall occur within the first 12 hours of initial knowledge of incident.
- Use the certificates for the permitted uses only.

2.1.3 Relying Party Obligations

Relying parties must:

- Read the procedures published in this document;
- Use the certificates for the permitted uses only.
- Do not assume any authorization attributes based solely on an entity's possession of a DOE GRIDS certificate.
- Notify DOE Grids PKI of any security incidents. Notification shall occur within the first 12 hours of initial knowledge of incident.
- Relying parties may:
 - Verify that the certificate is not on the CRL before validating a certificate;
 -

2.1.4 Repository Obligations

DOE GRIDS PKI will provide access to DOE GRIDS CA information, as outlined in section 2.6.1, on its web site. The following pages deal with individual items from 2.6.1:

CA information: <http://www.doegrids.org/pages/Fingerprints.htm>

Certificates: Browser access: <http://ldap.doegrids.org/ds/search>

LDAP access: ldap.doe grids.org

CRL information: <http://www.doe grids.org/pages/crls.htm>

CP/CPS: <http://www.doe grids.org/Docs/CP-CPS.pdf>

2.2 Liability

DOE GRIDS PKI and its agents issue person certificates according to the practices described in this document to validate identity. No liability, implicit or explicit, is accepted.

DOE GRIDS PKI and its agents make no guarantee about the security or suitability of a service that is identified by a DOE GRIDS certificate. The certification service is run with a reasonable level of security, but it is provided on a *best effort only* basis. It does not warrant its procedures and it will take no responsibility for problems arising from its operation, or for the use made of the certificates it provides.

DOE GRIDS PKI denies any financial or any other kind of responsibility for damages or impairments resulting from its operation.

2.3 Financial Responsibility

No Financial responsibility is accepted.

2.4 Interpretation and Enforcement

2.4.1 Governing Law

This policy is subordinate to all applicable U.S. government laws, as well as Department of Energy (DOE) orders.

2.5 Fees

No fees are charged for DOE GRIDS Certificates. All costs for operation are covered directly or indirectly by DOE.

2.6 Publication and Repositories

2.6.1 Publication of CA information

DOE GRIDS PKI will operate a secure online repository that contains:

- DOE GRIDS CA's certificate;
- Certificates issued by the PKI;
- A Certificate Revocation List;
- A copy of this policy
- Other information deemed relevant to the DOE GRIDS PKI.

2.6.2 Frequency of Publication

- Certificates will be published to the DOE GRIDS PKI repository as soon as issued.
- CRLs will be published as soon as issued or refreshed once every month if there are no changes.
- All DOE GRIDS PKI documents will be published to the project website as they are updated.

2.6.3 Access Controls

The online repository is available on a substantially 24/7 basis, subject to reasonable scheduled maintenance.

DOE GRIDS PKI does not impose any access control on its Policy, its signing Certificate and issued certificates, and its CRLs. In the future, DOE GRIDS PKI may impose access controls on issued certificates, their status information and CRLs at its discretion, subject to agreement between the CA, relying parties and subscribers.

2.6.4 Repositories

Repository of certificates and CRLs can be found in the service's LDAP directory: LDAP.doe grids.org or on its website www.doe grids.org:

CA certificate:

ldap://ldap.doe grids.org/ CN=DOEGrids CA 1, OU=Certificate Authorities, DC=DOEGrids, DC=org : cacertificate: <attribute value>

<http://www.doe grids.org/CA/DOEGrids%20CA%201>

CRLs:

ldap://ldap.doe grids.org/ CN=DOEGrids CA 1, OU=Certificate Authorities, DC=DOEGrids, DC=org : certificaterevocationlist: <attribute value>

<http://www.doe grids.org/CA/DOEGrids CA 1>

CP/CPS:

<http://www.doe grids.org/CA/DOEGrids%20CA%201/Certificate%20Policy.pdf>

2.7 Compliance audit

The DOE GRIDS PKI is not audited by an outside party. The CA operation may be reviewed by any cross certifying organization or potential relying organization if approved by the PMA.

2.8 Confidentiality

DOE GRIDS PKI collects subscribers' full names and e-mail addresses. Some of this information is used to construct unique, meaningful subject names in the issued certificates.

Information included in issued certificates and CRLs is **not** considered confidential.

DOE GRIDS PKI does not collect any kind of confidential information.

DOE GRIDS PKI does not have access to or generate the private keys of a digital signature key pair, such as those used in DOE GRIDS identity certificates. These key pairs are generated and managed by the client and are the sole responsibility of the subscriber.

2.9 Intellectual Property Rights

Parts of this document are inspired by [INFN CP], [GridCP], [EuroPKI], [TrustID] , [NCSA] , [PAG] and [FBCA].

3 Identification and Authentication

3.1 Initial Registration

3.1.1 Types of names

Name components vary depending on the type of certificate. Names will be consistent with the name requirements specified in RFC2459. See section 7.1.4 for more details.

3.1.2 Name Meanings

For individuals, the value of the CN component of the DN has no semantic significance. It should have a reasonable association with the authenticated name of the subscriber. For Hosts or Services, the CN component has a structure that is defined to support SSL/TLS and the Globus software. It should include the Fully Qualified Domain Name (FQDN) of the host.

3.1.3 Uniqueness of names

The Distinguished Name must be unique for each subject name certified by the DOE GRIDS PKI. Each CN component will include the Full name of the subscriber as determined by the Virtual Organization/Site's RA. The registration interface appends 5 or 6 random alphanumeric characters (i.e. "John K. Doe 1W2D3") when constructing the Common Name to assist in establishing uniqueness. Certificates must apply to unique individuals or resources. Private keys associated with Person certificates may not be shared between people. For Hosts and Services the CN should contain the FQDN of the host.

3.1.4 Method to Prove Possession of Private Key

Obtaining a personal or individual certificate is initiated by a key generation tag or control which the individual's web browser reads on the CA's user registration web page. Key generation and certificate signing request generation and submission are tied together in a single session, and there is a reasonable presumption of possession of private key in requests originating in web browser functions. Keys generated by other means (such as openssl), whether for persons or services, have separate key generation, csr generation, and submission stages. No proof of possession of private key test is made in these cases. Renewal and revocation functions employ a proof of possession of private key test.

3.1.5 Authentication of Individual Identity

The DOE Grids PKI uses an architecture where the approval of certificate requests is the responsibility of the Registration Authority for a specific community. The work flow of subscriber certificates request/approval can be found on the service website:

<http://www.doe grids.org/pages/workflow.pdf>

Each RA will be responsible for determining the identity used in the subject field of the Certificate. The procedure for determining identity differs depending on the type of certificate and RA policies. Each VO/Site must document their procedures in their individual RA appendix in this document.

3.2 Routine Rekey

No Stipulation

3.3 Rekey After Revocation

Rekey after revocation follows the same rules as an initial registration.

3.4 Revocation Request

See section 4.4.2 for details on who can request a certificate revocation.

4 Operational Requirements

4.1 Certificate Application

Procedures are different if the subject is a person or a host. **In every case the subject has to generate its own key pair.** A Key pair must have a minimum key length of 1024 bits.

- **Person.**
Certificate signing requests (CSRs) are submitted by an online procedure, using a Netscape or Internet Explorer browser. The CSR is sent to the VO's or Site's RA for validation. (see Appendices for specific RA).
- **Host or Service.**
Certificate requests are presented to the VO or Site's RA via a secure method and may come only from valid DOE GRIDS certificate holders. The request is sent to the VO or Site RA for validation.

4.2 Certificate Issuance

DOE Grids PKI issues the certificate if, and only if, an RA has validated the identity of the requestor. A message is sent to the requestor's e-mail address with the instructions on how to download it from the DOE GRIDS PKI web server.

4.3 Certificate Acceptance

No Stipulation.

4.4 Certificate Suspension and Revocation

4.4.1 Circumstances for Revocation

A certificate will be revoked when the information it contains is suspected to be incorrect or compromised. This includes situations where:

- The subscriber's private key is lost or suspected to be compromised;
- The information in the subscriber's certificate is suspected to be inaccurate;
- The subscriber no longer needs the certificate to access Relying Parties' resources;
- The subscriber violated his/her obligations.

4.4.2 Who Can Request Revocation

A request to revoke an End Entity Certificate (Person, Host or Service) can be done by the following entities if they can present reasonable evidence that the private key has been compromised or that the subscriber's data is in error:

- The Holder or owner of the Certificate.
- The RA for the VO or Site that validated the original Certificate request
- The DOE GRIDS PKI managers.
- The DOE Grids Incident response team
- Any other official entity that is a member of the VO or Site.

The subscriber may revoke (or request revocation of) the subscriber's own certificate for any reason at any time.

4.4.3 Procedure for Revocation Request

The entity requesting the revocation must authenticate itself to the DOE GRIDS PKI or the VO's RA staff, which must use the same procedures used for the authentication of identity of a person.

4.4.4 Circumstances for Suspension

The DOEGrids PKI does not support Certificate Suspension.

4.4.5 CRL Issuance Frequency

CRLs are issued after every certificate revocation or refreshed once every month if there are no changes.

4.4.6 Online Revocation/status checking availability

An online Status checking facility will be provided.

4.4.7 Online Revocation checking requirements

No stipulation.

4.4.8 Other forms of revocation advertisement available

No stipulation.

4.5 Security Audit Procedures

Security Auditing of the DOEGrids PKI is not supported.

4.6 Records Archival

4.6.1 Types of Event Recorded

The following events are recorded and archived

- Certification requests;
- Issued certificates;
- Issued CRLs;
- All e-mail correspondence on the PMA mailing list;

4.6.2 Retention Period for Archives

Minimum retention period is three years.

4.7 Key Changeover

No stipulation.

4.8 Compromise and Disaster Recovery

If the CA's private key is — or suspected to be — compromised, the CA will:

1. Inform subscribers and subordinate RAs;
2. Terminate the certificates and CRL distribution services for certificates and CRLs issued using the compromised key.

4.9 CA Termination

Before DOE GRIDS PKI terminates its services, it will:

1. Inform subscribers and subordinate RAs;
2. Make widely available information of its termination;
3. Stop issuing certificates and CRLs.
4. Destroy its private key's and all copies.

5 Physical, Procedural and Personnel Security Controls

5.1 Physical Security Controls

The DOE GRIDS PKI is located at Lawrence Berkeley National Laboratory (LBNL) in the ESnet Data Center. The ESnet Data center maintains a limited access procedure keyed to the LBNL badge system. The servers are maintained in access controlled secure racks. All access to the servers is limited to DOE GRIDS PKI Security officer and system support staff of ESnet. All servers are Sun Solaris systems. Security on these systems is maintained and configured to highest level provided for by Sun. All security patches will be applied as soon as they are released by Sun and verified by the ESnet support staff.

The DOE GRIDS PKI servers are located behind a Cisco Pix Firewall. The entire server farm will be monitored by the Bro intrusion detection system.

5.2 Procedural Controls

No Stipulations.

5.3 Personnel Security Controls

All access to the servers and applications that comprise the DOE GRIDS PKI is limited to DOE GRIDS PKI Security officer and the ESnet system support staff.

6 Technical Security Controls

6.1 Key Pair Generation and Installation

6.1.1 Key Pair Generation

Each End Entity must generate its own key pair. DOE GRIDS PKI does not generate private keys.

6.1.2 Private Key Delivery to Entity

The DOE GRIDS PKI never has access to the End Entity private key.

6.1.3 Public Key Delivery to Certificate Issuer

Entities' public keys are delivered to the issuing CA in a secure and trustworthy manner (e.g. SSL/TLS).

6.1.4 CA Public Key Delivery to Users

CA certificate is delivered by an online transaction from a secure web server or by other out of band secure process.

6.1.5 Key Sizes

Keys of length less than 1024 bits will not be signed.

6.1.6 Public Key Parameters Generation

No stipulation.

6.1.7 Parameter Quality Checking

No stipulation.

6.1.8 Hardware/Software Key Generation

No Stipulation.

6.1.9 Key usage Purposes

DOE GRIDS certificates are only warranted for authentication and signing proxy certificates [Proxy].

The ESnet root CA private key will only be used to sign subordinate CAs. The DOE GRIDS online CA signing key is the only key that will be used for signing CRLS and Certificates for Persons, Services.

The Certificate key Usage field must be used in accordance with [RFC2459]

6.2 Private Key Protection

6.2.1 Private Key (n out of m) Multi person control

Not supported.

6.2.2 Private Key Escrow

Not supported.

6.2.3 Private Key Archival and Backup

There is no support for Private Key Archival and Backup for End Entity Certificates.

DOE GRIDS CA signing private key is managed by an nCipher FIPS-140 complaint hardware and software system.

This private key is stored in 3DES encrypted form on the hard disk of the server, and is backed up by conventional server backup services and by other means. The private key is never available in plain text form (that is, in a usable form) to the server operating system or any back up service. The private key is managed by a set of smart cards.

The keys for these smart cards, and the 3DES key used to encrypt the signing private key, are generated by the nCipher nShield FIPS 140 device (key generation is based on a hardware random number generator). Access to these keys is only available through a set of administrator smart cards. Several copies of cards have been created and stored in secure locations.

6.3 Other Aspects of Key Pair Management

DOE GRIDS CA certificate has a validity of **five** years.

6.4 Activation Data

DOE GRIDS CA private key is protected by a pass phrase.

DOE GRIDS CA signing key is protected by a 3DES key. This key is known only to a set of operator smart cards (the OCS), which are unlocked by pass-phrases individually assigned to each card.

6.5 Computer Security Controls

6.5.1 Specific Computer Security Technical Requirements

CA servers include the following:

- Operating systems are maintained at a high level of security by applying all recommended and applicable security patches;
- Monitoring is done to detect unauthorized software changes;
- Services are reduced to the bare minimum;

6.5.2 Computer Security Rating

No stipulations.

6.6 Life-Cycle Security Controls

No stipulations.

6.7 Network Security Controls

The Root Certificate Authority will be off line and will only sign subordinate CAs. DOE GRIDS will maintain an Online CA for issuing Certificates authorized by the DOE GRIDS RAs.

The DOE GRIDS PKI servers are located behind a Cisco Pix Firewall. The entire server farm will be monitored by the Bro intrusion detection system [Bro].

6.8 Cryptographic Module Engineering Controls

No stipulations.

7 Certificate and CRL Profiles

7.1 Certificate Profile

7.1.1 Version number

X.509 v3.

7.1.2 Certificate Extensions

Basic Constraints (CRITICAL)
not a CA.

Key Usage (CRITICAL)
Digital Signature, Non Repudiation, Key Encipherment, Data Encipherment

Subject Key Identifier

Authority Key Identifier

Subject Alternative Name
Subject's e-mail address

Issuer Alternative Name

CRL Distribution Points
Certificate Policies

7.1.3 Algorithm Object identifiers

No stipulations.

7.1.4 Name Forms

The X.509 character set is case insensitive. But in some situations software being used to interpret these fields does interpret the name forms as case sensitive. To insure proper operation, relying parties must make sure the case used in Globus map files match the case of issued certificates. Until uniform interpretation of case is deployed it is strongly recommended that we follow the case conventions that are used in the examples below. OU=Host, is only for internal use of DOE GRIDS.

Issuer: DC=doegrids; DC=org; CN=DOE Grids ca;

Or: O= doegrids.org; CN=DOE Grids ca

The subject name of the End Entity will be a valid Distinguished Name (DN). These DNs will consist of one of the following Relative DNs (RDN):

- **For People:** OU=People; O= doegrids.org
- **For People:** OU=People; DC= doegrids; DC=org
- **For Hosts:** OU=Hosts; O= doegrids.org
- **For Hosts:** OU=Hosts; DC= doegrids; DC=org
- **For Services:** OU=Services; O= doegrids.org
- **For Services:** OU=Services; ; DC= doegrids; DC=org

The Common Name (CN) components of the DNs are defined as:

- **For a Person.**

Full name as determined by the RA and an additional 5 random alphanumeric characters added for uniqueness. (i.e. "John K. Doe 1W2D3")

 - CN= John K. Doe 1W2D3; OU=People; O= doegrids.org
 - CN= John K. Doe 1W2D3; OU=People; DC= doegrids; DC=org
- **For a Host.**

A fully qualified Domain name as registered in DNS or its 4 octet IP address, optionally prefixed with "host/".

 - CN= george.lbl.gov; OU=Hosts; O= doegrids.org
-
- **For a Service.**

The Service name/A fully qualified Domain name as registered in DNS (FQDN) or its 4 octet IP address (i.e.<SRV>/<FQDN>;<SRV>/<IP>) note: "host" is an acceptable service name, as for example in Globus gatekeeper certificates.

 - CN= FTP/george.lbl.gov; OU=Services; O= doegrids.org
 - CN= FTP/george.lbl.gov; OU=Services; DC= doegrids; DC=org
 - CN= FTP/131.243.2.12; OU=Services; DC= doegrids; DC=org
 - CN= george.lbl.gov; OU=Services; DC= doegrids; DC=org

7.1.5 Name Constraints

Not supported

7.1.6 Certificate Policy Object Identifier

OID: [ESnet].ERmember.DOEScienceGrid.Security.CP
1.2.840.113612.3.6.4.1

7.1.7 Usage of Policy Constraints Extensions

No stipulated.

7.1.8 Policy qualifier syntax and semantics

The qualifier is a pointer to this document, in the form of an URL.

7.2 CRL Profile

7.2.1 Version

X.509 v1.

Version 1 is required for compatibility with Netscape Communicator.

7.2.2 CRL and CRL Entry Extensions

No stipulation.

8 Specification Administration

8.1 Specification Change Procedures

Users will not be warned in advance of changes to DOE GRIDS CA's policy and CPS.

8.2 Publication and Notification Procedures

The policy is available at:

<http://www.doe grids.org/CA/DOEGrids%20CA%201/Certificate%20Policy.pdf>

8.3 CPS Approval Procedures

The DOE GRIDS PKI PMA is responsible for the CP and CPS. All changes must be approved by the PMA.

Appendix A: Guidelines for Registration Managers, Authorities and Agents

A.1 Background

This set of guidelines is intended to address the types of RMs that will be associated with the DOE Grids CA, and how Registration Authorities and Agents will operate.

A.2 Guidelines

1. Registration Authorities (RA) or Registration Agents (RAg) will perform all of the functions needed to apply certificate issuance policy to potential CA subscribers. The Registration Manager (RM) then generates and forwards a certificate request to the CA.
2. The PMA will approve the CP for each site/VO that applies for an RM.

3. The RA for each site/VO designates a Point of Contact who automatically becomes a member of the ESnet PMA.
4. The RAGs are, at least during the early adopter phase, also automatically members of the PMA. (Or at least they must be known to the PMA.)
5. The RAG needs to be technically qualified and have the organizational authority to make the decision on whether the organization will issue a certificate to an applying individual (or to hosts on behalf of an individual that already has an ESnet signed certificate). This agent has approximately the same role and level of responsibility as the agents in an organization that process computer account request forms and make the decision as to whether to issue and account or not.
6. The community RM is a shared resource. The volume of certificate requests must be limited to 20 per day. There is no limit to the number of certificates that a private RM may request from the CA. The reason for this is the potential RM disruption caused by high system load or high request notification load (which currently goes to all RAs using a Community RM) that would be generated by a high rate of certificate requests.
7. Private RMs should have the following characteristics:
 - a. The site/VO must provide a Sun, SPARC system, running Solaris 8
 - b. The system must run RM software of a configuration approved by the CA management
 - c. Whether ESnet or the private RM operator supplies the RM software is subject to negotiation with Netscape.
 - d. The system should be kept in a controlled access machine room, or equivalently secure location
 - e. The system should be a "single purpose" system (i.e., only run the RM service)
8. RAGs, by policy **MAY NOT** do the following:
 - a. Sign CA certificates.
 - b. Sign a name space not approved by this policy.
 - c. Clone or create new RAGs with out the PMA's approval.

Appendix B: PPDG RA operational procedures

B.1 Background

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the Particle Physics Data Grid Registration Authority (PPDG RA). Information defining the PPDG VO is available at <http://www.ppdg.net/>. This appendix describes how the responsibilities for a VO RA are implemented for the PPDG RA.

It is expected that the PPDG RA will have a finite lifetime and is implemented an example of a VO RA which can serve the needs of the PPDG community until other persistent RA's are developed which serve this community.

B.2 PPDG RA staff

B.2.1 Membership

A number of persons are identified as comprising the PPDG RA staff. This list of persons is openly available on the PPDG RA web site (<http://www.ppdg.net/RA/sponsors.htm>). Each of these persons has a valid certificate from the DOE GRIDS CA.

The initial set of persons to be included in the PPDG RA staff is the PPDG Steering Committee. Additional persons may be appointed to the PPDG RA staff by the PPDG steering committee and approved by the DOE GRIDS CA.

B.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the <VO> about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the <VO>. The POC shall be a member of the DOE GRIDS CA PMA.

B.3 PPDG VO Community

The PPDG Virtual Organization community is defined as all persons who are member of or collaborating with the Computer Science groups and Physics Experiments participating in PPDG. These CS groups and physics experiments are listed at <http://www.ppdg.net/>. The privilege of requesting a certificate is subject to restrictions defined in this document.

B.4 Authentication procedures

B.4.1 Authentication of individual identity

Any member of the PPDG RA staff may authenticate a person to satisfy a request from the POC. Person requesting certification must demonstrate reasonable evidence of membership in the PPDG VO

B.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between PPDG RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- face-to-face conversation
- telephone conversation between members of PPDG RA staff
- telephone conversation between individuals already personally known to each other from face-to-face conversations
- secure digitally signed email between individuals with certificates from DOE GRIDS CA.

B.4.3 Steps in authentication for certification

B.4.3.1 Person Certificate

1. A person requests a certificate from the DOE GRIDS CA community RM.
2. Agent receives notification of request and takes assignment if appropriate for this RA.
3. Agent contracts sponsor from predefined list PPDG RA staff members.
4. PPDG RA staff confirms or refutes request to Agent.
5. Agent approves or rejects request using community RM.
6. Person requesting certificate receives notification from RM.

B.4.3.2 Host or Service Certificate

1. A person requests a host or service certificate from the DOE GRIDS CA community RM.
2. Agent receives notification of request and takes assignment if appropriate for this RA.
3. Agent checks if person has a valid DOE GRIDS CA certificate.
4. Agent approves request if person has a valid DOE GRIDS certificate and rejects request if person does not have a valid DOE GRIDS certificate.

B.5 Lifetime of certificates

Identity certificates approved by the PPDG RA have a lifetime of no more than 12 months from date of approval.

Appendix C: National Fusion Collaboratory's RA operational Procedures

C.1 Purpose, Goals, Scope

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the National Fusion Collaboratory Registration Authority (NFC RA). Information defining the National Fusion Collaboratory is available at <http://www.fusiongrid.org/>. This appendix describes how the responsibilities for a VO RA are implemented for the NFC RA.

The National Fusion Collaboratory is a creation of a SciDAC proposal to “advance the science of high temperature plasma physics for magnetic fusion”. This VO will exist for at least the 3-year funding period of that proposal, and if successful may become a more lasting entity. The need for the NFC RA itself will last as long as the Collaboratory does, and will at least cover the period where any X.509 certificates approved by this RA are still valid.

C.2 NFC RA staff (sponsors)

C.2.1 Membership

A number of persons are identified as comprising the NFC RA staff, which is the group of sponsors who are authorized to perform the identity check on individuals requesting a certificate. This list of persons is available to NFC members at (www.fusiongrid.org/Security). Each of these persons has a valid certificate from the DOE GRIDS CA.

The initial set of persons to be included in the NFC RA staff is comprised of the PIs from each of the 6 institutions funded by the National Fusion Collaboratory SciDAC project. Additional persons may be appointed to the NFC RA staff by the current members with the approval of the DOE GRIDS CA.

C.2.2 Point of Contact (POC) with DOE GRIDS CA (agent)

All necessary communications between the DOE GRIDS CA and the NFC about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the NFC. The POC shall be a member of the DOE GRIDS CA PMA.

C.3 NFC VO Community

The NFC Virtual Organization community is defined as all persons authorized to use any of the National Fusion Collaboratory's on-line resources. Any one of the Collaboratory PI's may authorize a new member of the community. The privilege of requesting a certificate is subject to restrictions defined in this document.

C.4 Authentication procedures

C.4.1 Authentication of individual identity

Any member of the NFC RA staff (a sponsor) may authenticate a person requesting a certificate. Person requesting certification must demonstrate reasonable evidence of membership in the NFC VO.

C.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between NFC RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- face-to-face conversation
- telephone conversation between members of NFC RA staff
- telephone conversation between individuals already personally known to each other from face-to-face conversations
- secure digitally signed email between individuals with certificates from DOE GRIDS CA.

C.4.3 Steps in authentication for certification

C.4.3.1 Person Certificate

1. A person requests a certificate from DOE GRIDS CA community RM; the request includes the name of a NFC RA staff (sponsor) that can authenticate the request.
2. Agent receives notification of the request and takes assignment if appropriate for this RA.
3. Agent notifies NFC RA sponsor indicated in request that a request is pending including the name, institution and email of the requester
4. NFC RA sponsor contacts requester and authenticates request (secure means).
5. NFC RA sponsor confirms or refutes the request to the agent. (secure means)
6. Agent approves or rejects the request using the community RM.
7. Person requesting certificate receives notification from RM.

C.4.3.2 Host Certificate

1. A person requests a host or service certificate from the DOE GRIDS CA community RM.
2. Agent receives notification of the request and takes assignment if appropriate for this RA.
3. Requesting person sends e-mail signed by a valid DOE GRIDS certificate confirming the request.
4. Agent approves the request if the requester has been designated by a NFC sponsor to receive host or service certificates for the site specified in the certificate host name.
5. Person requesting the certificate receives notification from the RM.

C.5 Lifetime of certificates

Identity certificates approved by the NFC RA have a lifetime of no more than 24 months from date of approval.

Appendix D: NERSC RA operational procedures

D.1 Background

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the National Energy Research Scientific Computing Center (NERSC) Registration Authority (NERSC RA). Information defining the NERSC VO is available at <http://www.nersc.gov/>. This appendix describes how the responsibilities for a VO RA are implemented for the NERSC RA.

NERSC is the Department of Energy's largest unclassified high performance computing center. Its primary mission is to accelerate the pace of scientific discovery in the DOE Office of Science community by providing high-performance computing, information, and communications services. NERSC's client base is global in scope and many DOE projects and collaboration utilize NERSC's resources for their computational needs. The need for the NERSC RA is permanent for the foreseeable future and will eventually be the primary authentication and authorization mechanism for access to NERSC resources.

D.2 NERSC RA staff

D.2.1 Membership

A number of persons are identified as comprising the NERSC RA staff. These persons have been designated by NERSC and are NERSC staff members. Each of these persons has a valid certificate from the DOE GRIDS CA.

The initial set of persons to be included in the NERSC RA staff are responsible for implementing and ensuring the NERSC RA complies with both DOE GRIDS CA guidelines and also pre-existing NERSC authentication and authorization mechanisms.

D.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the <VO> about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the <VO>. The POC shall be a member of the DOE GRIDS CA PMA.

D.3 NERSC VO Community

The NERSC Virtual Organization community is defined as all persons who are authorized to utilize NERSC resources. The privilege of requesting a certificate is subject to restrictions defined in this document.

D.4 Authentication procedures

D.4.1 Authentication of individual identity

Authentication of an individual identity must follow existing NERSC guidelines for client authentication. Persons requesting certification must demonstrate reasonable evidence of membership in the NERSC VO. All individuals must contact NERSC account support for authentication. The NERSC account support staff will contact the NERSC RA POC regarding the results of the authentication procedure.

D.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between NERSC RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Telephone conversation between members of NERSC RA staff
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA.
- Paper documents physically signed and dated by either NERSC RA staff or DOE GRIDS CA staff

All instances of communication essential for authenticating individual entities will be logged and archived by NERSC RA staff. This archive will only be accessible to NERSC RA staff and other authorized agents and will contain the date and time of the communication, names of the parties involved in the communication, name of individual the communication is in regards to and any other pertinent information that would be deemed essential to reconstruct the communication if so required.

D.4.3 Steps in authentication for certification

1. Individual requests a certificate from DOE GRIDS CA, the request includes the name of NERSC VO who will authenticate the request. (secure means)
2. DOE GRIDS CA notifies NERSC RA POC of a certification request. (insecure means)
3. NERSC POC retrieves information of certification request from DOE GRIDS CA (secure means).

4. NERSC POC notifies NERSC RA staff member that a request is pending including the name, institution and email of the requester (insecure means)
5. NERSC RA staff informs requestor to contact NERSC account staff for authentication.
6. Individual contacts NERSC account staff for access to NERSC resources.
7. NERSC account staff authenticates individual per existing NERSC authentication policy and mechanisms.
8. NERSC account staff notifies NERSC RA staff member of results of authentication procedure.
9. NERSC RA staff notifies POC that authentication has occurred (insecure means)
10. POC calls NERSC RA staff at telephone number listed in institutional phone book, and verifies status of authentication (secure means)
11. POC notifies DOE GRIDS CA of the authentication of the request (secure means)

D.5 Lifetime of certificates

Identity certificates approved by the NERSC RA have a lifetime of no more than 12 months from date of approval. All certificates approved by the NERSC RA will expire yearly on September 30th, regardless of the date of approval.

Appendix E: Lawrence Berkeley Lab's RA operational Procedures

E.1 Purpose, Goals and Scope

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the Lawrence Berkeley National Laboratory Registration Authority (LBNL RA). Information defining the LBNL site is available at <http://www-itg.lbl.gov/gtg>. This appendix describes how the responsibilities for a VO RA are implemented for the LBNL RA. The need for the LBNL RA will probably span the lifetime of the DOE GRIDS itself.

E.2 VO RA staff

E.2.1 Membership

A number of persons are identified as comprising the LBNL RA staff, which is the group of sponsors who are authorized to perform the identity check on individuals requesting a certificate. This list of persons is openly available on the LBNL Grid Technologies Group web site (<http://www-itg.lbl.gov/gtg>). Each of these persons has a valid certificate from the DOE GRIDS CA. Additional persons may be appointed to the LBNL RA staff by its current members with the approval of the DOE GRIDS CA.

E.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the <VO> about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the <VO>. The POC shall be a member of the DOE GRIDS CA PMA.

E.3 LBNL Site Community

The LBNL site community is defined as all persons authorized to use any of the LBNL grid resources. The privilege of requesting a certificate is subject to restrictions defined in this document.

E.4 Authentication procedures

E.4.1 Authentication of individual identity

Any member of the LBNL RA staff (a sponsor) may authenticate a person to satisfy a request from the POC. Person requesting certification must demonstrate reasonable evidence of participation in DOE GRIDS activities.

E.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between LBNL RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- face-to-face conversation
- telephone conversation between members of LBNL RA staff
- telephone conversation between individuals already personally known to each other from face-to-face conversations
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA.

E.4.3 Steps in Authentication for Certification

1. A person requests a certificate from DOE GRIDS CA, the request includes the name of a LBNL RA staff who can authenticate the request. (secure means)
2. DOE GRIDS CA notifies LBNL RA POC of a certification request. (insecure means)
3. POC retrieves information of certification request from DOE GRIDS CA (secure means).
4. POC notifies LBNL RA staff member indicated in request that a request is pending including the name, institution and email of the requester (insecure means)
5. LBNL RA staff contacts requester and authenticates request by means specified in this document.
6. LBNL RA staff notifies POC that authentication has occurred (insecure means)
7. POC calls LBNL RA staff at telephone number listed in institutional phone book, and verifies status of authentication (secure means)
8. POC notifies DOE GRIDS CA of the authentication of the request (secure means)

E.5 Lifetime of certificates

Identity certificates approved by the PPDG RA have a lifetime of no more than 12 months from date of approval.

Appendix F: ORNL RA operational procedures

F.1 Background

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the Oak Ridge National Laboratory (ORNL) Registration Authority (ORNL RA). Information defining the ORNL VO is available at

<http://www.ornl.gov/>. This appendix describes how the responsibilities for a VO RA are implemented for the ORNL RA.

ORNL is a multiprogram science and technology laboratory managed for the U.S. Department of Energy by UT-Battelle, LLC. Scientists and engineers at ORNL conduct basic and applied research and development to create scientific knowledge and technological solutions that strengthen the nation's leadership in key areas of science; increase the availability of clean, abundant energy; restore and protect the environment; and contribute to national security.

It is expected that the ORNL RA will have a finite lifetime and is implemented as an example of a VO RA for access to ORNL resources. The ORNL RA is subjected to review by local account and resource management authorities during its initial implementation; however, if successful it may become an official authentication mechanism for access to ORNL resources.

F.2 ORNL RA staff

F.2.1 Membership

A number of persons are identified as comprising the ORNL RA staff. These persons have been designated by ORNL and are ORNL staff members. Each of these persons has a valid certificate from the DOE GRIDS CA.

The initial set of persons to be included in the ORNL RA staff are responsible for implementing and ensuring the ORNL RA complies with both DOE GRIDS CA guidelines and existing ORNL authentication and authorization mechanisms. Additional persons may be appointed to the DOE GRIDS RA staff by ORNL and approved by the DOE GRIDS CA PMA. ORNL reserves the right to relieve ORNL RA duties from any of its staff member at any time.

F.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the <VO> about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the <VO>. The POC shall be a member of the DOE GRIDS CA PMA.

F.3 ORNL VO Community

The ORNL Virtual Organization community is defined as all persons who are authorized to utilize ORNL resources. These persons must also follow the *most recent* ORNL [usage rules](#) and [export control](#) policies. The privilege of requesting a certificate is subject to restrictions defined in this document.

F.4 Authentication procedures

F.4.1 Authentication of individual identity

Authentication of an individual identity must strictly follow ORNL [usage rules](#) and [export control](#) policies. Persons requesting certification are required to have user accounts at ORNL and demonstrate reasonable evidence of membership in the ORNL VO. All individuals must apply for ORNL accounts if they do not already have ones. In the application process, the individuals will have to list a project affiliation and give a general description of work being performed. This is to assure that ORNL resources are not being used for unauthorized purposes.

After getting accounts, the individuals must inform the ORNL RA staff of their project affiliation, and names of the PI and system administrators who are responsible for their account

creations. The ORNL RA will contact the PI and system administrators to verify the individuals' rights to access ORNL resources.

F.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between ORNL RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation
- Telephone conversation between members of ORNL RA staff
- Telephone conversation between individuals already personally known to each other from face-to-face conversation
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA
- Paper documents physically signed and dated by either ORNL RA staff or DOE GRIDS CA staff

Note that all kinds of conversation (the first three secure communications above) *must* be supplemented by emails for logging purposes.

All instances of communication essential for authenticating individual entities will be logged and archived by ORNL RA staff. This archive will only be accessible to ORNL RA staff and other authorized agents and will contain the date and time of the communication, names of the parties involved in the communication, name of individual the communication is in regards to and any other pertinent information that would be deemed essential to reconstruct the communication if so required.

F.4.3 Steps in authentication for certification

1. Individual requests a certificate from DOE GRIDS CA, the request includes the name of ORNL RA who will authenticate the request. (secure means)
2. DOE GRIDS CA notifies ORNL RA POC of a certification request. (insecure means)
3. ORNL POC retrieves information of certification request from DOE GRIDS CA (secure means).
4. ORNL POC notifies ORNL RA staff member that a request is pending including the name, institution and email of the requester (insecure means)
5. ORNL RA staff informs requestor to apply for an ORNL account on-line if the requestor does not have one. The ORNL RA staff will skip step 6 if the requestor already has an account.
6. The ORNL account staff will review the account request and email the requestor of its disposition. The decision will be made based on existing ORNL authentication and authorization policies.
7. If the account is granted, the requestor has to inform ORNL RA staff of his/her affiliated project, and names of PI and system administrators who are responsible for account creation.
8. ORNL RA staff contact the PI and the system administrator to verify the requestor's authentication and authorization to access ORNL resources.

9. ORNL RA staff notifies POC that authentication has occurred (insecure means)
10. POC calls ORNL RA staff at telephone number listed in institutional phone book, and verifies status of authentication (secure means)
11. POC notifies DOE GRIDS CA of the authentication of the request (secure means)

F.5 Lifetime of certificates

Identity certificates approved by the ORNL RA have a lifetime of no more than 12 months from date of approval.

Appendix G: ANL RA operational procedures

G.1 Background

The Argonne National Laboratory (ANL) DOE GRIDS RA is intended to serve the staff and collaborators of the Laboratory. The Laboratory is defined at <http://www.anl.gov>. This appendix describes how the responsibilities for ANL RA are implemented at ANL.

Argonne National Laboratory is a major multiprogram laboratory managed and operated for the U.S. Department of Energy (DOE) by the University of Chicago under a performance-based contract.

Argonne's mission is to serve DOE by advancing the frontiers of knowledge, by creating and operating forefront scientific user facilities, and by providing innovative and effective tools and solutions for energy and environmental challenges to national and global well-being, in the near and long term, as a contributing member of the DOE Laboratory system.

Argonne supports DOE's missions in science, energy resources, environmental stewardship, and national security, with lead roles in science, operation of scientific facilities, and energy. In accomplishing its mission, Argonne partners with DOE, other federal laboratories, the academic community, and the private sector.

The ANL RA is subjected to review by local account and resource management authorities.

G.2 ANL RA staff

G.2.1 Membership

Argonne National Laboratory's Registration Authority staff will serve as the Registration Authority staff for the Laboratory in support of Argonne's participation in the DOE GRIDS. These persons have been designated by ANL and are ANL staff members.

The initial set of persons to be included in the ANL RA staff are responsible for implementing and ensuring the ANL RA complies with both DOE GRIDS CA guidelines and existing ANL authentication and authorization mechanisms. Additional persons may be appointed to the DOE GRIDS RA staff by ANL.

G.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the ANL about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for ANL. The POC shall be a member of the DOE GRIDS CA PMA.

G.3 ANL Community

The ANL RA will serve the staff and affiliates of Argonne National Laboratory.

- Staff is defined as employees of the Laboratory.
- Affiliates are those individuals that are affirmed as collaborators by Argonne staff.

G.4 Authentication procedures

G.4.1 Authentication of individual identity

Argonne National Laboratory staff member will be identified by inspection of their badge. Inspection may take place in person by RA staff members or be conducted by a third party intermediary known and trusted by the RA staff. Trust is based on prior operational interaction with the RA staff.

Affiliates will be identified based on an affirmation by an ANL staff member. The staff member will be identified as detailed above.

G.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between ANL RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation
- Telephone conversation between members of ANL RA staff
- Telephone conversation between individuals already personally known to each other from face-to-face conversation
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA
- Paper documents physically signed and dated by either ANL RA staff or DOE GRIDS CA staff

G.4.3 Steps in authentication for certification

1. Individual requests a certificate from DOE GRIDS CA. In the case of an affiliate the request includes the name of ANL staff member who will claim the subscriber as a collaborator. (secure means)
2. DOE GRIDS CA notifies ANL RA of a certification request including the name, institution and email of the requester. (insecure means)
3. ANL RA retrieves information of certification request from DOE GRIDS CA (secure means).
4. ANL RA staff contact the requestor and verifies the requestor's identity.

5. If the subscriber is successfully vetted, ANL RA staff approves certificate request (secure means).

G.5 Lifetime of certificates

Certificates will be valid for two years.

Appendix H: PNNL RA operational procedures

H.1 Background

The Pacific Northwest National Laboratory (PNNL) DOE GRIDS RA is intended to serve the staff and collaborators of the Laboratory. The Laboratory is defined at <http://www.pnl.gov>. This appendix describes how the responsibilities for PNNL RA are implemented at PNNL.

Pacific Northwest is managed by DOE's Office of Science, but performs work for many DOE offices as well as other government agencies. Battelle has operated Pacific Northwest for DOE and its predecessors since 1965.

Pacific Northwest National Laboratory's core mission is to deliver environmental science and technology in the service of the nation and humanity. Through basic research PNNL creates fundamental knowledge of natural, engineered, and social systems that is the basis for both effective environmental technology and sound public policy. PNNL solves legacy environmental problems by delivering technologies that remedy existing environmental hazards, address today's environmental needs with technologies that prevent pollution and minimize waste, and are laying the technical foundation for tomorrow's inherently clean energy and industrial processes. PNNL also apply our capabilities to meet selected national security, energy, and human health needs; strengthen the U.S. economy; and support the education of future scientists and engineers.

The PNNL RA is subjected to review by local account and resource management authorities.

H.2 PNNL RA staff

H.2.1 Membership

Pacific Northwest National Laboratory's Registration Authority staff will serve as the Registration Authority staff for the Laboratory in support of Pacific Northwest's participation in the DOE GRIDS. These persons have been designated by PNNL and are PNNL staff members.

The initial set of persons to be included in the PNNL RA staff are responsible for implementing and ensuring the PNNL RA complies with both DOE GRIDS CA guidelines and existing PNNL authentication and authorization mechanisms. Additional persons may be appointed to the DOE GRIDS RA staff by PNNL.

H.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the PNNL about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for PNNL. The POC shall be a member of the DOE GRIDS CA PMA.

H.3 PNNL Community

The PNNL RA will serve the staff and affiliates of Pacific Northwest National Laboratory.

- Staff is defined as employees of the Laboratory.

- Affiliates are those individuals that are affirmed as collaborators by Pacific Northwest staff.

H.4 Authentication procedures

H.4.1 Authentication of individual identity

Pacific Northwest National Laboratory staff member will be identified by inspection of their badge. Inspection may take place in person by RA staff members or be conducted by a third party intermediary known and trusted by the RA staff. Trust is based on prior operational interaction with the RA staff.

Affiliates will be identified based on an affirmation by an PNNL staff member. The staff member will be identified as detailed above.

H.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between PNNL RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation
- Telephone conversation between members of PNNL RA staff
- Telephone conversation between individuals already personally known to each other from face-to-face conversation
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA
- Paper documents physically signed and dated by either PNNL RA staff or DOE GRIDS CA staff

H.4.3 Steps in authentication for certification

1. Individual requests a certificate from DOE GRIDS CA. In the case of an affiliate the request includes the name of PNNL staff member who will claim the subscriber as a collaborator. (secure means)
2. DOE GRIDS CA notifies PNNL RA of a certification request including the name, institution and email of the requester. (insecure means)
3. PNNL RA retrieves information of certification request from DOE GRIDS CA (secure means).
4. PNNL RA staff contact the requestor and verifies the requestor's identity.
5. If the subscriber is successfully vetted, PNNL RA staff approves certificate request (secure means).

H.5 Lifetime of certificates

Certificates will be valid for one and half years and expire September 30th of each year.

I.1 Purpose, Goals, Scope

One of the Virtual Organizations Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the international Virtual Data Grid Laboratory (iVDGL) Registration Authority (iVDGL RA). Information defining iVDGL is available at <http://www.ivdgl.org/>. This appendix describes how the responsibilities for a VO RA are implemented for the iVDGL RA. iVDGL is a creation of an NSF proposal to “provide a global computing resource for several leading international experiments in physics and astronomy, including the Laser Interferometer Gravitational-wave Observatory ([LIGO](#)), the [ATLAS](#) and [CMS](#) experiments at [CERN](#), the Sloan Digital Sky Survey ([SDSS](#)), and the proposed National Virtual Observatory ([NVO](#)).” Use of the iVDGL may be extended to other application and experiment groups, through MOUs. The iVDGL VO will exist for at least the 5-year funding period of that proposal, and if successful may become a more lasting entity. The need for the iVDGL RA itself will last as long as the laboratory does, and will at least cover the period where any X.509 certificates approved by this RA are still valid.

I.2 iVDGL RA staff (sponsors)

I.2.1 Membership

A number of persons are identified as comprising the iVDGL RA staff, which is the group of sponsors who are authorized to perform the identity check on individuals requesting a certificate. This list of persons is available to iVDGL members at (www.ivdgl.org/TBD). Each of these persons has a valid certificate from the DOE GRIDS CA. The initial set of persons to be included in the iVDGL RA staff is comprised of the PIs from each of the institutions funded by the iVDGL project and who have valid DOE GRIDS certificates.

Additional persons may be appointed to the iVDGL RA staff by the current members with the approval of the DOE GRIDS CA.

I.2.2 POC with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the VO about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the VO. The POC shall be a member of the DOE GRIDS CA PMA.

I.3 iVDGL VO Community

The iVDGL Virtual Organization community is defined as all persons authorized to use any of the iVDGL's on-line resources. Any one of the laboratory PI's may authorize a new member of the community. The privilege of requesting a certificate is subject to restrictions defined in this document.

I.4 Authentication Procedure

I.4.1 Authentication of individual identity

Any member of the iVDGL RA staff (a sponsor) may authenticate a person to satisfy a request from the POC. Person requesting certification must demonstrate reasonable evidence of membership in the iVDGL VO.

1.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between iVDGL RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation
- Telephone conversation between members of iVDGL RA staff
- Telephone conversation between individuals already personally known to each other from face-to-face conversations
- Secure digitally signed email between individuals with certificates from DOE GRIDS CA.

1.4.3 Steps in authentication for certification

1. A person requests a certificate from DOE GRIDS CA; the request includes the name of an iVDGL RA staff member that can authenticate the request. (Secure means)
2. DOE GRIDS CA notifies iVDGL RA agents of a certification request. (Insecure means)
3. Agent retrieves information of certification request from DOE GRIDS CA. (Secure means)
4. Agent notifies iVDGL RA staff member (sponsor) indicated in request that a request is pending including the name, institution and email of the requester (insecure means)
5. iVDGL RA staff (sponsor) contacts requester and authenticates request (secure means).
6. iVDGL RA staff notifies agent that authentication has occurred (secure means)
7. Agent notifies DOE GRIDS CA of the authentication of the request (secure means)

1.5 Lifetime of certificates

Identity certificates approved by the iVDGL RA have a lifetime of no more than 24 months from date of approval.

Appendix J: ESG RA operational procedures

J.1 Background

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the Earth System Grid Registration Authority (ESG RA). Information defining the Earth System Grid VO is available at <http://www.earthsystemgrid.org/>. This appendix describes how the responsibilities for a VO RA are implemented for the ESG RA. The Earth System Grid II (ESG) is a new research project sponsored by the [U.S. DOE Office of Science](#) under the auspices of the [Scientific Discovery through Advanced Computing](#) program (SciDAC). The primary goal of ESG is to address the formidable challenges associated with enabling analysis of and knowledge development from global Earth System models. Through a combination of Grid technologies and emerging community technology, distributed federations of supercomputers and large-scale data & analysis servers will provide a seamless and powerful environment that enables the next generation of climate research.

It is expected that the ESG RA will have a finite lifetime and is implemented an example of a VO RA which can serve the needs of the ESG community until other persistent RA's are developed which serve this community.

J.2 ESG RA staff

J.2.1 Membership

A number of persons are identified as comprising the ESG RA staff. This list of persons is openly available on the ESG RA web site (e.g., <http://www.earthsystemgrid.org/RA/>). Each of these persons has a valid certificate from the DOE GRIDS CA.

The initial set of persons to be included in the ESG RA staff are representatives from ESG membership organizations. Additional persons may be appointed to the ESG RA staff by the ESG steering committee and approved by the DOE GRIDS CA.

J.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and the <VO> about policy and practices pertaining to the duties of the RAs as defined in this document are transmitted via the Point of Contact (POC) for the <VO>. The POC shall be a member of the DOE GRIDS CA PMA.

J.3 ESG VO Community

The ESG Virtual Organization community is defined as all persons who are member of or collaborating with the software development working groups and Climate Experiments participating in ESG. These working groups and climate experiments are listed at <http://www.earthsystemgrid.org/>. The privilege of requesting a certificate is subject to restrictions defined in this document.

J.4 Authentication procedures

J.4.1 Authentication of individual identity

Any member of the ESG RA staff may authenticate a person to satisfy a request from the POC. Person requesting certification must demonstrate reasonable evidence of membership in the ESG VO.

J.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between ESG RA staff to the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- ➤ face-to-face conversation
- ➤ telephone conversation between members of ESG RA staff
- ➤ telephone conversation between individuals already personally known to each other from face-to-face conversations

- ➤ secure digitally signed email between individuals with certificates from DOE GRIDS CA.

J.4.3 Steps in authentication for certification

J.4.3.1 Person Certificate

1. A person requests a certificate from the DOE GRIDS CA community Registration Manager (RM); the request includes the name of an ESG RA staff that can authenticate the request. (secure means)
2. DOE SG CA notifies ESG RA agents of a certification request. (insecure means)
3. Agent retrieves notification of certificate request from DOE GRIDS CA. (secure means)
4. Agent notifies ESG RA staff member indicated in the request that a request is pending including the name, institution and email of the requester. (insecure means)
5. ESG RA staff contacts requester and authenticates request. (secure means)
6. ESG RA staff notifies agent that authentication has occurred. (secure means)
7. Agent notifies DOE GRIDS CA of the authentication of the request using RM software. (secure means)
8. Person requesting certificate receives notification from RM.

J.4.3.2 Host or Service Certificate

1. A person requests a host or service certificate from the DOE GRIDS CA community RM.
2. Agent receives notification of request and takes assignment if appropriate for this RA.
3. Agent checks if person has a valid DOE GRIDS CA certificate.
4. Agent approves request if person has a valid DOE GRIDS certificate and rejects request if person does not have a valid DOE GRIDS certificate.

J.5 Lifetime of certificates

Identity certificates approved by the ESG RA have a lifetime of no more than 12 months from date of approval.

Appendix K: FNAL RA operational procedures

K.1 Background

The Fermi National Accelerator Laboratory's (FNAL) DOE GRIDS RA is intended to serve the staff and collaborators of the Laboratory. The Laboratory is described at <http://www.fnal.gov/> and is a DOE laboratory focused on the advancement of High Energy Physics. This appendix describes how the responsibilities for FNAL RA are implemented at FNAL.

K.2 FNAL RA staff

K.2.1 Membership

Fermi National Accelerator Laboratory's Registration Authority staff will serve as the Registration Authority staff for the Laboratory in support Fermi's participation in the DOE GRIDS. These persons have been designated by FNAL and are FNAL staff members.

The initial set of persons to be included in the FNAL RA staff are responsible for implementing and ensuring the FNAL RA complies with both DOE GRIDS CA guidelines and existing FNAL authentication and authorization mechanisms. Additional persons may be appointed to the DOE GRIDS RA staff by FNAL.

K.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and FNAL about policy and practices pertaining to the duties of the RAs, as defined in this document, are transmitted via the Point of Contact (POC) for FNAL. The POC shall be a member of the DOE GRIDS PMA.

K.3 FNAL Community

The FNAL RA will serve the staff and affiliates of Fermi National Accelerator Laboratory.

- Staff is defined as employees of the Laboratory.
- Affiliates are those individuals that are affirmed as collaborators by Fermi staff.

K.4 Authentication procedures

K.4.1 Authentication of individual identity

Fermi National Accelerator Laboratory will be providing identity certificates to their staff and affiliates by operating its own KCA. There will be limited use of DOEGrids Identity certificates.

Fermi National Accelerator Laboratory's staff members and affiliates will be identified by inspection of their badge or strong authentication via FNAL's Kerberos realms. The FNAL strong authentication program is described at <http://www.fnal.gov/docs/strongauth/> . Inspection of badges may take place in person by RA staff members or be conducted by a third party intermediary known and trusted by the RA staff.

K.4.2 Communications

All communications essential for authenticating individual identities, their requests and transmitting this information between FNAL RA staff and the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation

- Telephone conversation between individuals already personally known to each other from face-to-face conversation
- Secure digitally signed communications between individuals with certificates from DOE GRIDS CA or from the FNAL KCA.
- FNAL-realm Kerberos authenticated requests.
- Paper documents physically signed and dated by either FNAL RA staff or DOE GRIDS CA staff

K.4.3 Steps in authentication for certification

K.4.3.1 Interactive Method

1. Individual requests a client or service certificate from DOE GRIDS CA. In the case of an affiliate the request includes the name of FNAL staff member who will claim the subscriber as a collaborator. (secure means)
2. DOE GRIDS CA notifies FNAL RA of a certification request including the name, institution and email of the requester. (insecure means)
3. FNAL RA retrieves information of certification request from DOE GRIDS CA (secure means).
4. FNAL RA staff contact the requestor and verifies the requestor's identity or right to have a service certificate.
5. If the subscriber is successfully vetted, FNAL RA staff approves certificate request (secure means).

K.4.3.2 Batch Method

1. Individual requests a client or service certificate from a FNAL RA agent. (secure means)
2. FNAL RA staff verifies the requestor's identity and right to have a service certificate.
3. If the request is successfully vetted, FNAL RA staff approves certificate request (secure means).

K.5 Lifetime of certificates

Certificates will be valid for one year from date of issuance.

Appendix L: Guidelines for Security Incident Response and Resolution

L.1 Background

Compromise or loss of a private key is a serious issue that requires cooperation amongst all participating DOE Grids PKI members, subscribers and relying parties to minimize the extent of damage. These guidelines are meant only to provide guidance for the DOE Grids PKI members to resolve these incidents since every incident will be unique.

L.2 Definitions

Security Incident

An incident that has the potential of private key loss or compromise, regardless if the compromise or loss was successful. Such incidents include but are not limited to user credential compromise, privilege escalation on

systems known to contain private keys, accidental exposure of private keys to unauthorized third parties or loss of a private key.

Incident Response Team

Members of the DOE Grids PKI PMA responsible for evaluating security incidents and presenting their recommendations to the DOE Grids PKI members. This team shall consist of volunteers from within the DOE Grids PKI PMA and shall number no less than three. Members shall be appointed by the DOE Grids CA managers if insufficient volunteers are present.

L.3 Responsibilities

1. RA Points of Contact (POC)

- a. The POC's will act as the coordinating liaison between the DOE Grids PKI and their VO's computer security for incident communication and resolution.
- b. Within 12 hours of initial discovery of a security incident, the POC shall notify the DOE Grids PKI members in a secure manner.
- c. The POC shall work with their RA computer security to determine the extent of the incident and the keys that have been potentially compromised. This information shall be relayed to the DOE Grids PKI members as soon as possible.
- d. The POC's are encouraged to share what information they have about a security incident with the DOE Grids PKI members, especially the incident response team.

2. DOE Grids CA managers

[This section under discussion.]

3. Incident Response Team

- a. The Incident Response Team will be formed by the DOE Grids PMA upon notification of a security incident.
- b. The Incident Response Team shall evaluate all information regarding an incident.
- c. A recommendation for course(s) of action will be presented to the DOE Grids PKI. These recommendations shall consist, to the greatest extent possible, an evaluation of risk associated with each course of action recommended.

L.4 Actions

1. If evidence is presented that a private key has been compromised, the key shall be immediately revoked.
2. If insufficient information is presented to verify that a suspected key has been compromised, the DOE Grids PMA will convene to evaluate the recommendations put forth by the Incident Response Team. The DOE Grids PMA will vote on the recommendation(s) presented by the Incident Response team. This vote will be an advisory vote only.
3. The Incident Response Team will write a summary of the incident and the results of any advisory vote for the DOE Grids PMA. This summary will be available to all DOE Grids PKI members and will be archived for future reference if necessary.

M.1 Background

The Large Hadron Collider (LHC) Computing Grid (LCG), www.cern.ch/lcg, is a large grid deployment project supporting particle physics experimental collaborations using the LHC particle accelerator at CERN. These collaborations, or Virtual Organisations (VO), are worldwide in scope, highly distributed and involve thousands of scientists at hundreds of institutions. Whilst the majority of the authentication requirements for the LCG VOs are met by a set of trusted national Certification Authorities, the need to reliably generate authentication credentials for individuals and resources not covered by one of these approved CAs still exists. This need for a “catch-all” is met by the LCG RA.

Almost by definition, individuals requesting certificates from the LCG RA are geographically widely dispersed. Because of this, face-to-face meetings for exchange of authentication information and personal knowledge authentication criteria are not always applicable. By specifying a set of authentication requirements and procedures this appendix describes how the responsibilities for a VO RA are implemented by the LCG RA.

M.2 LCG RA staff

M.2.1 Membership

The RA consists of at least two named individuals appointed by the LCG Security Group and approved by DOE GRIDS CA. Each of these persons will have a valid DOE GRIDS CA certificate. RAs may appoint Registration Agents (RAs) at Participating Institutes (see 1.3 below). RAs will have a valid DOE GRIDS CA certificate and be classed as RA staff. A RAG will be appointed where total membership or affiliation at their institute is expected to require a number of DOE GRIDS CA certificates to be issued. It is expected that a RAG will hold a long term appointment with their institute.

M.2.2 Point of Contact (POC) with DOE GRIDS CA

The LCG Security Group shall identify an individual to be the Point of Contact with DOE GRIDS CA. All necessary communications between the DOE GRIDS CA and the LCG RA about policy and practices pertaining to the duties of the RAs and RAs as defined in this document are transmitted via the Point of Contact (POC) for the LCG RA (www.cern.ch/lcg/catch-all-ca). The POC shall be a member of the DOE GRIDS CA PMA.

M.3 LCG RA VO Community

The LCG RA VO Community members are defined as EITHER:

- any person who is officially part of a recognized LCG VO and who is not covered under the policy of an existing approved LCG CA
- any person who requires such a certificate exclusively for the purposes of software testing, deployment or other activity related to LCG.

Members of the LCG RA VO Community must be attached to a Participating Institute.

A Participating Institute is defined as EITHER of:

- An institute for which a RAG has been appointed and for which there is a written agreement between the RA and the RAG that the RAG may authenticate individual identity.
- An institute for which the RA is able to obtain reasonable assurance (e.g. from VO or LCG project management) that its members or affiliates are participating in LCG.

M.4 Authentication procedures

M.4.1 Authentication of individual identity

In all cases the RA staff must possess reasonable assurance of participation by the subscriber in the LCG RA VO Community as defined in section 1.3 above.

Individuals will be authenticated if they show possession of BOTH the following documents which MUST state the full name of the individual applying for the certificate:

- A document proving current affiliation to a Participating Institute.
- A valid official or government photo identity such as passport or driving license.

RA staff may at their discretion request additional supporting evidence of identity.

Each RAg will only authenticate identity for an agreed set of Participating Institutes as defined in 1.3.

M.4.1.1 Authentication without face-to-face meeting

Authentication without a face-to-face meeting will only be used between the subscriber and the LCG RA. RAgS WILL NOT authenticate without face-to-face meeting.

For the purposes of exchange of authentication documents, the postal or facsimile transmission of high quality copies will be acceptable where supplemented by a telephone conversation, instigated by the authenticating party, using a publicly available telephone number or other of the means of secure communications listed below. In this case the date and time of transmission should be confirmed.

M.4.2 Communications

All communications essential for authenticating individual identities and transmitting this information between LCG RA staff and the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information.

The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- face-to-face conversation
- telephone conversation between members of LCG RA staff
- telephone conversation between individuals already personally known to each other from face-to-face conversations
- secure digitally signed email between individuals with certificates from an approved CA

M.4.3 Steps in authentication for certification

The steps in authentication for certification take two paths depending on whether a supporting RAg is already appointed. The procedure for authentication for a RAg is the same as for a person without a RAg. It is expected that a RAg will always be appointed where there is a need for host or service certificates.

M.4.3.1 Personal Certificate

M.4.3.1.1 Personal Certificate without RAg

- 1) A person requests a certificate from the DOE GRIDS CA community RM.
- 2) The LCG RA receives the notification of request and, if appropriate for this RA, takes assignment.
- 3) The LCG RA authenticates the identity of the individual as defined in section 1.4.1.
- 4) The LCG RA approves or rejects the request using the community RM.

- 5) The person requesting the certificate receives notification from RM.

M.4.3.1.2 Personal Certificate with RAg

- 1) A person requests a certificate from the DOE GRIDS CA community RM.
- 2) The LCG RA receives the notification of request and, if appropriate for this RA, assigns it to an appropriate LCG RAg.
- 3) The LCG RAg authenticates the identity of the individual as defined in section 4.1.
- 4) The LCG RAg approves or rejects the request using the community RM.
- 5) The person requesting the certificate receives notification from the RM.

M.4.3.2 Host Certificate

- 1) A person requests a host or service certificate from the DOE GRIDS CA community RM.
- 2) LCG RA receives notification of the request and assigns it to appropriate LCG RAg if appropriate for this RA.
- 3) LCG RAg checks if the person has a valid DOE GRIDS CA certificate.
- 4) LCG RAg checks if the requested host or service CN specifies a FQDN located within the domain of the Participating Institute.
- 5) LCG RAg approves the request if all the conditions listed above are met and rejects the request otherwise.

M.5 Lifetime of certificates

Identity certificates approved by the LCG RA have a lifetime of no more than 12 months from date of approval.

Appendix N: NCC-EPA RA operational procedures

N.1 Background

One of the Virtual Organization Registration Authorities (VO RA) operating with some delegated authority of the DOE GRIDS CA is the Environmental Protection Agency's National Computer Center (NCC) Registration Authority (NCC-EPA RA). Information defining the NCC-EPA VO is available at:

http://www.epa.gov/nescweb0/00_general/administration.html/

This appendix describes how the responsibilities for a VO RA are implemented for the NCC-EPA RA.

The US EPA National Computer Center (NCC) is a state-of-the-art data center managed by the Office of Environmental Information, Office of Technology Operations and Planning, National Technology Services Division (NTSD). The center provides complete application hosting, High Performance Computing and technical consulting services for hundreds of EPA and Federal customers nationwide. Without the critical computing resources provided by the NCC the EPA could not fulfill their mission to protect human health and the environment. In an effort to increase user collaboration, and better utilize EPA computational and storage resources the Office of Research and Development (ORD) has funded a GRID initiative. This initiative is the predecessor of a much larger GRID effort designed to expand EPA's reach thus allowing access to previously unthought-of computational and data resources.

The need for the NCC-EPA RA is permanent for the foreseeable future and will eventually be the primary authentication and authorization mechanism for access to EPA NCC computing and data resources.

N.2 RTP-EPA RA staff

N.2.1 Membership

Several individuals have been identified as comprising the NCC-EPA RA staff. These persons have been designated by NCC-EPA and are Government/Contractor staff members.

The initial set of persons to be included in the NCC-EPA RA staff are responsible for implementing and ensuring the NCC-EPA RA complies with both DOE GRIDS CA guidelines and existing NCC-EPA authentication and authorization mechanisms. Additional persons may be appointed to the DOE GRIDS RA staff by NCC-EPA.

N.2.2 Point of Contact (POC) with DOE GRIDS CA

All necessary communications between the DOE GRIDS CA and NCC-EPA about policy and practices pertaining to the duties of the RAs, as defined in this document, are transmitted via the Point of Contact (POC) for NCC-EPA. The POC shall be a member of the DOE GRIDS PMA.

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N.3 RTP-EPA Community

The NCC-EPA RA will serve the staff and affiliates of NCC-EPA.

- Staff is defined as employees of the NCC-EPA.
- Affiliates are those individuals that are affirmed as collaborators by NCC-EPA staff.

N.4 Authentication procedures

N.4.1 Authentication of individual identity

NCC-EPA will be providing identity and service certificates to their staff and affiliates. Authentication of an individual identity must follow existing EPA Anytime Anyplace Access (AAA) guidelines for client authentication. Persons requesting certification must demonstrate reasonable evidence of membership in the EPA VO. All individuals must contact NCC-EPA account support for authentication. The EPA account support staff will coordinate with the NCC-EPA RA POC regarding the results of the authentication procedure.

N.4.2 Communications

All communications essential for authenticating individual identities, their requests and transmitting this information between NCC-EPA RA staff and the DOE GRIDS CA are carried out in a secure manner. In this context, secure means the information is not changed by third parties but does not mean that third parties may not observe the information. The secure communications may be supplemented by insecure communications as long as the essential information is verified by a secure means. For example, information about a certification or revocation request may be transmitted by insecure email as long as it is verified by secure means before transmission to the DOE GRIDS CA.

The means of secure communications acceptable are:

- Face-to-face conversation
- Telephone conversation between individuals already personally known to each other from face-to-face conversation
- Secure digitally signed communications between individuals with certificates from DOE GRIDS CA.
- Paper documents physically signed and dated by either NCC-EPA RA staff or DOE GRIDS CA staff

N.4.3 Steps in authentication for certification

N.4.3.1 Interactive Method

6. Individual requests a client or service certificate from DOE GRIDS CA. In the case of an affiliate the request includes the name of NCC-EPA staff member who will claim the subscriber as a collaborator. (secure means)
7. DOE GRIDS CA notifies NCC-EPA RA of a certification request including the name, institution and email of the requester. (insecure means)
8. NCC-EPA RA retrieves information of certification request from DOE GRIDS CA (secure means).
9. NCC-EPA RA staff contact the requestor and verifies the requestor's identity or right to have a service certificate (secure means).
10. If the subscriber is successfully vetted, NCC-EPA RA staff approves certificate request (secure means).

N.5 Lifetime of certificates

Certificates will be valid for one year from date of issuance.

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List of Changes

VERSION	DATE	CHANGES
1.0	Nov 16, 2001	Initial Release based on INFN CP/CPS
1.1	Nov 30, 2001	Section 1.1: Added text to assign DOE GRIDS PMA responsibility for CP/CPS maintenance Section 2.1: Split CA and RA obligations Section 3.1.1/7.1.4: Changed host name requirement - Von Welch's text added Section 4.2: Added certificate life cycle text Section 4.4: Did a little more on Revocation process/reasons.
2.0	May 15, 2002	Added RA support, including Appendixes for PPDG, FNC and RA guidelines. Redid format and reviewed/rewrote all sections of the CP-

		CPS Numerous modifications to text based on input from PMA
2.1	Aug 26, 2002	Add iVDGL and ESG annexes
2.2	Oct 15, 2002	<p>The following list the changes for this version:</p> <ol style="list-style-type: none"> 1. Authentication of organization identity - document our current practice Check PAG section D.3.2.5 for additional information. <ul style="list-style-type: none"> ○ Moved and described in the new PMA charter document 2. Sec 1.1 add ESnet's relationship to LBNL <ul style="list-style-type: none"> ○ Added 3. sec 1.3.1 add system architecture delineate what parts are managed by ESnet and other organizations. <ul style="list-style-type: none"> ○ Added, including table of components. 4. sec 2.1.2 add subscriber definition <ul style="list-style-type: none"> ○ Added to general definitions sec 1.1.1 5. Add Acronym definitions <ul style="list-style-type: none"> ○ What Acronyms? 6. sec 3.1.5 clean up the definition of how we do Individual identity. Also how RM's will be used and deployed - tie to sec 1.3.1. <ul style="list-style-type: none"> ○ Added text and link to certificate work flow 7. sec 4.2.2 Format error and redundant information <ul style="list-style-type: none"> ○ could not find - old problem?? 8. App A A.2, item 8 Add emphasize that the Rags may NOT do the following... <ul style="list-style-type: none"> ○ Changed. 9. Replace section 6.1.9 with input from list. <ul style="list-style-type: none"> ○ Replaced with Von's input 10. CRL distribution point located in PKI1 certificate. Where should it point to? <ul style="list-style-type: none"> ○ Changed 2.1.4 to reflect the new repositories. 11. How to vet new RAs? <ul style="list-style-type: none"> ○ Moved and described in the new PMA charter. <p>Other changes:</p> <ol style="list-style-type: none"> 1. Changed the title of the doc to reflect new Name - DOE Grids 2. Global change of DOESG for DOE

		<p>Grids</p> <ol style="list-style-type: none"> 3. Changed 1.2 to reflect new name version... 4. Changed link to point to new site. 5. changed 1.3.2 6. changed 2.1.1 certificate life time to 12 months. EDG requirement?? 7. Changed 6.3 CA certificate life time to 5 years. EDG requirement?? 8. 7.1.4 changed names to doegrids.
2.3	Dec 15, 2003	<ol style="list-style-type: none"> 1. 7.1.4 Add dotted IP for hosts in service section 2. Change the DOE science grid links to DOEGrids.org links - section 2.1.3 3. 6.2.3 and 6.4 describe the use of FIPS 140 device... 4. 2.6.4 change "repository" location 5. 8.2 change policy publication point 6. 3.1.3 typo hared - > Shared 7. 3.1.4 Changed from no stipulation to document current practices. 8. 3.1.5 Changed Local polices to RA polices. 9. 7.1.4 Changed example of IP octet value to a unique one. 10. Editorial change this table to have visible dividers.
2.4	May 31, 2004	<ol style="list-style-type: none"> 1. Add in the FNAL appendix (K) 2. Add in Steve Lau appendix (L) 3. Editorial changes by Doug Olson 4. Added more contact information 5. Added more to the CA ,RA , subscribers and Relying party responsibilities to deal with security incidents. 6. Add LCG Catch-all RA appendix (M)
2.5	August 12, 2004	Added NCC- EPA appendix (N)