



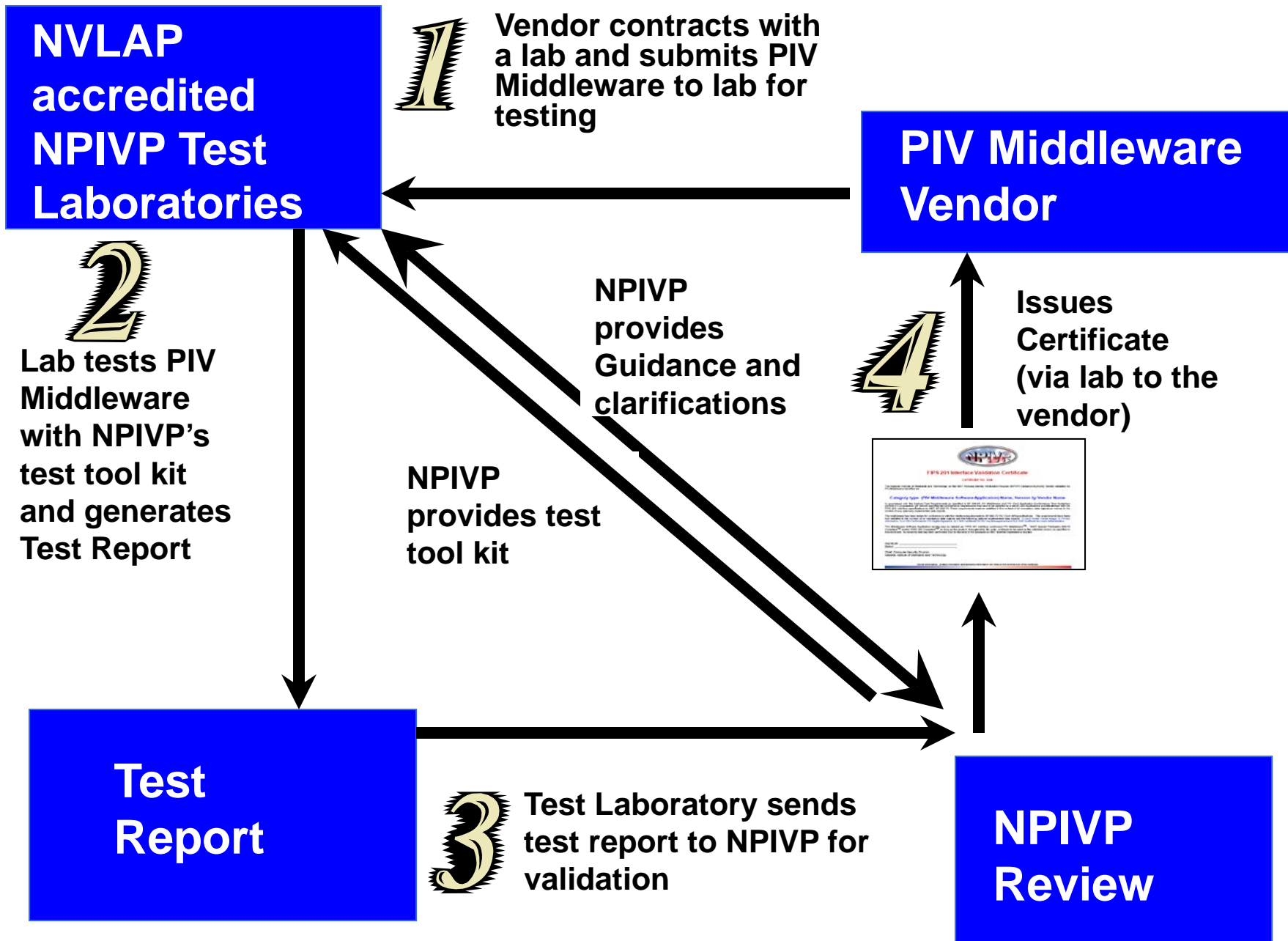
Certification and Validation Process

NPIVP Workshop - March 03, 2006

Agenda

- **General Topics:**
 - Certification Process
 - NPIVP Pre-validation Lists
 - NPIVP Web Resources
 - What is certified?
- **Laboratories Specific Topics:**
 - Timeline of NVLAP Accreditation under NPIVP
 - Proficiency Test

PIV Middleware Certification Process Flow





FIPS 201 Interface Validation Certificate

Certificate No. **xxx**

The National Institute of Standards and Technology, as the NIST Personal Identify Verification Program (NPIVP) Validation Authority; hereby validates the PIV Middleware identified as:

Category type: (PIV Middleware Software Application) Name, Version by Vendor Name

in accordance with the Derived Test Requirements as specified in SP 800-85 *PIV Middleware and PIV Card Application Conformance Test Guidelines* (SP800-73 Compliance). SP 800-85 specifies the conformance requirements that have to be satisfied by a set of Card Applications and Middleware with the FIPS 201 Interface specifications in NIST SP 800-73. These requirements must be satisfied in the context of all mandatory data objects as well as in the context of any optionally implemented data objects.

The middleware has been tested for conformance with the interface requirements in SP 800-73 PIV Client API specifications. The requirements have been fully satisfied in the context of all mandatory data objects and the following optional implemented data objects: 1) [Card Holder Facial Image](#), 2) [Printed Information](#), 3) [X.509 Certificate for PIV Digital Signature](#), 4) [X.509 Certificate for PIV Key Management](#) and 5) [X.509 Certificate for Card Authentication](#).

This Middleware Software Application hereby may be labeled as "*FIPS 201 Interface conformant PIV MiddlewareTM*", "*NIST Special Publication 800-73 CompliantTM*", and/or "*FIPS 201 CompliantTM*" so long as the product, throughout its life cycle, continues to be used as the validated version as specified in this certificate. No reliability test has been performed and no warranty of the products by NIST is either expressed or implied.

Signature: _____

Dated: _____

Chief, Computer Security Division
National Institute of Standards and Technology

Vendor information, product information and laboratory information are listed on the reverse side of the certificate



FIPS 201 Interface Validation Certificate

Certificate No. **xxx**

Vendor Information:

Name:

Web Site:

Product Information:

Product Name:

Version and Date:

Test Laboratory Information:

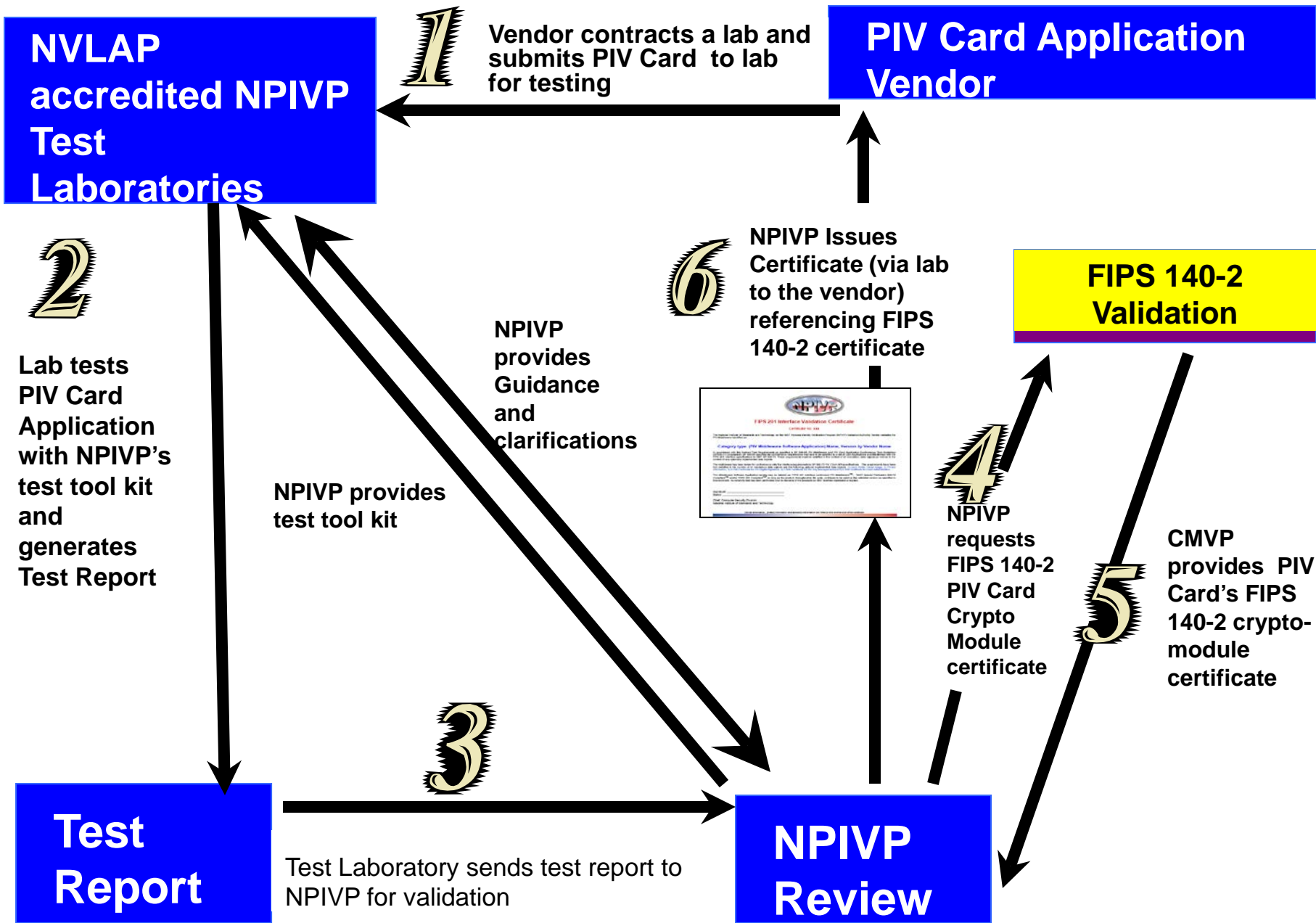
Name:

NVLAP Laboratory Code:

Test Report Number:



PIV Card Application Certification Process Flow





FIPS 140-2 PIV
Card Crypto
Module
certificate # of
the PIV Card

FIPS 201 Interface Validation Certificate

Certificate No. xxx

The National Institute of Standards and Technology, Personal Identify Verification Program (NPIVP) Validation Authority, hereby validates the PIV Card Application identified as:

Category type: (PIV Card Application) Name(s), Version by Vendor Name

in accordance with the Derived Test Requirements as specified in SP 800-85 *PIV Middleware and PIV Card Application Conformance Test Guidelines* (SP 800-73 Compliance). SP 800-85 specifies the conformance requirements that have to be satisfied by a set of Card Applications and Middleware with the FIPS 201 interface specifications of SP 800-73.

The Card Application **is/is not interim issuance indicator capable and** passed the card application card command interface tests by correctly implementing the commands of the PIV card command interface. The card comment interface has been correctly implemented in the context of all mandatory data objects and the following optional implemented data objects: 1) Card Holder Facial Image, 2) Printed Information, 3) X.509 Certificate for PIV Digital Signature, 4) X.509 Certificate for PIV Key Management and 5) X.509 Certificate for Card Authentication.

This Card Application is hosted on a FIPS140-2 validated smart card with the following FIPS 140-2 validation certificate: **certificate #**. This Card Application hosted on the aforementioned smart-card, hereby shall be labeled as "*FIPS 201 Interface conformant PIV Card ApplicationTM*", "*NIST Special Publication 800-73 CompliantTM*" and/or "*FIPS 201 CompliantTM*" so long as the product, throughout its life cycle continuous to be used as a validated version as specified in this certificate and maintaining the FIPS 140-2 validation. No reliability test has been performed and no warranty of the products by NIST is either expressed or implied.

Signature: _____

Dated: _____

Chief, Computer Security Division
National Institute of Standards and Technology

Vendor information, product information and laboratory information are listed on the reverse side of the certificate



FIPS 201 Interface Validation Certificate

Certificate No. xxx

Vendor Information:

Name:

Web Site:

Product Information:

Product Name:

Version and Date:

Test Laboratory Information:

Name:

NVLAP Laboratory Code:

Test Report Number:



What carries a Certificate?

For the PIV Middleware:

- Certification means that the particular **version** of the tested Middleware passed conformance testing.
- A new version or upgrade to the Middleware requires the Middleware to go through the certification process again and have its own certificate issued.

What carries a Certificate

For the PIV Card Application:

- Certification means that the particular **version on a FIPS 140-2 certified platform** (PIV Card Chip) has passed conformance testing.
- A new version and/or a new platform to the PIV Card Application requires the Card Application to go through the certification process again and the lab has to certify that the validation of the underlying platform still holds with the new version of the software.

NPIVP's Pre-Validation Lists

- Available for PIV Middleware and PIV Card Applications
- Accessible at <http://www.nist.gov/npivp>
- 3 States:
 - Certification in Progress
 - Certification under Review
 - NPIVP Validated

Pre-Validation States

NPIVP Certification in Progress

- A contract between a vendor and a NPIVP lab exists
- The PIV product and documentation have been submitted to the NPIVP labs

NPIVP Certification under Review

- Test reports and documentation have been submitted to the NPIVP for review
- Signed recommendation letter from the lab for validation received by the NPIVP
- NPIVP is reviewing the test report and documentation.

NPIVP Validated

- All issues in validation review comments have been resolved
- Certificate number assigned
- Certificate printing and signature process initiated

NPIVP Web Resources

- URL: <http://www.nist.gov/npivp>
- Validation Lists
- Pre-Validation Lists
- Announcements
- Listing of Authorized NPIVP Laboratory
- NPIVP Contact Information
- Links to SP800-85 (Conformance Test Guidelines)



NPIVP Laboratory Specific Topics

NVLAP Accreditation Timelines

- Interim Designation as NPIVP laboratory will expire in August 2006
- Application for NVLAP under NPIVP will be available ~ 3/30/06
- Applications receiving by NVLAP 4/15/05
- On-Site visits will be scheduled for Mid-April, May and June 2006
- Target Accreditation Date: 7/30/2006.

Proficiency Testing

- To demonstrate knowledge of the NPIVP test suites and associated publications (SP800-85A, SP800-73)
- Due by 3/15/2006
- Deliverables:
 - email (npivp@nist.gov) the log files, result files and the test results summary file
 - Explain the reason of failed tests by looking at the fail column in the test results summary file
 - Include a copy of the configuration file that you have used
 - send the completed data sheets and the added procedures and instructions to NVLAP

Proficiency Testing (continued)

- NPIVP reviews the test results
- NVLAP reviews the procedure and instructions
- NPIVP and NVLAP notifies the laboratory of proficiency testing deficiencies (if any) and corrective actions to be taken

Thank you

Hildy Ferraiolo

NIST

Hildegard.Ferraiolo@nist.gov

(301)975-6972