



# Baltimore Certificates On-Line

CAPL P09 (PA - GU)

PAA Operations Manual

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## 1. TITLE PAGE

The information contained in this document is intended for Baltimore Technologies personnel charged with the management and operation of the Certification Authorities owned and operated as Certificates Australia Pty Ltd or Security Domain Pty Ltd (Baltimore Certificates On Line), those persons named as recipients or those persons nominated in the circulation list.

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This Policy document has been produced in accordance with the general provision of the Commonwealth's policy and guidelines on the protection of information and information technology environments.

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The presence of the signature below indicates that Baltimore personnel charged with operating the Certification Authority Services on behalf of Certificates Australia Pty Ltd and Security Domain Pty Ltd will abide by the policies contained herein.

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(BCOL Representative)



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## 3. PURPOSE OF THIS PAPER

Each Baltimore Certificate Authority Service Provider (CASP) shall form a Policy Approval Authority (PAA). The purpose of the PAA is to establish, monitor and maintain the integrity of the policy infrastructure in a Public Key Infrastructure (PKI).

This document describes the establishment, membership and operations of the Certificates Australia Pty Ltd (CAPL) PAA.

### 3.1 Document structure

The document is divided into the following sections:

1. Introduction and Overview
2. Establishment
3. Responsibilities of the CAPL PAA
4. Structure of the CAPL PAA
5. CAPL PAA Meetings
6. Appendix A – Policies approved by the PAA

### 3.2 Amendment procedure

As new standards emerge or policy matters are identified for improvement, this document will be amended.

The responsibility for amending this document rests with the General Manager – CA. The naming convention for amendment notices will be:

YY            indicating the year the amendment was issued

XXX            where XXX represents a sequential number beginning with 000.

### 3.3 References

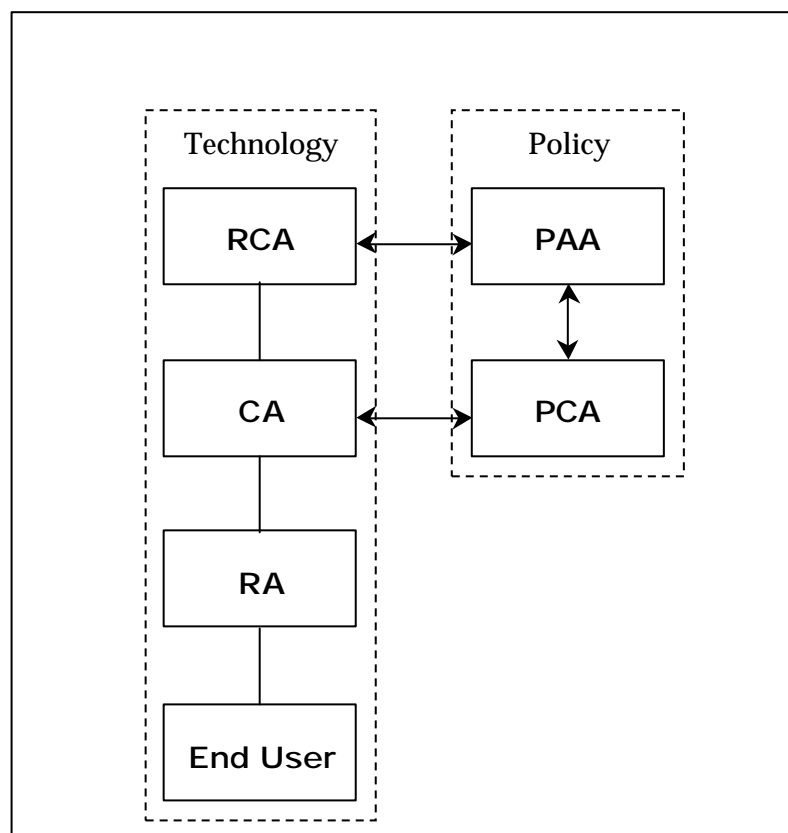
- Gatekeeper, A strategy for public key technology use in the Government
- X.500 Object Identifier Tree

## 4. INTRODUCTION AND OVERVIEW

### 4.1 Overview

The PAA has an equivalent status to the RCA in a Public Key hierarchy. The PAA is responsible for the harmonious operation of the CAPL hierarchy. Figure 4.1 below depicts the relationship between technology and policy elements.

Figure 4.1 RCA - PAA relationship



The PAA has overall authority for:

- Approving policy within the hierarchy
- Approving the establishment of new PCAs
- Ensuring the integrity of the PKI policy structures

The Policy Creation Authority (PCA) is responsible for formulating new policies relating to a specific part of a PKI. A PCA will usually be established to compliment a new CA, however this is not mandatory.

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## 5. ESTABLISHMENT

### 5.1 Naming of the Policy Approval Authority

The CAPL PKI is the collective term for the standards, products and services certified by CAPL and the policies approved by the CAPL PAA for the management of those standards, products and services and relationships between them.

The name of the Authority that will approve policies relating to the CAPL PKI is the CAPL PAA.

### 5.2 Governance

The CAPL PAA is an approval board only which exists to establish, monitor and maintain policies relating to the integrity of the policy infrastructure in the CAPL PKI.

The authority to constitute a CAPL PAA comes from the General Manager – CA.

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## 6. RESPONSIBILITIES OF THE CAPL PAA

The CAPL PAA will have a number of primary responsibilities which are provided for under the terms of this Operations Manual. The CAPL PAA may elect to amend, reduce or add to these primary responsibilities.

The CAPL PAA may also elect to introduce categories of responsibilities in addition to those listed in this manual.

### 6.1 Prime responsibilities of the CAPL PAA

The prime responsibilities of the CAPL PAA are to:

- Draft new policies;
- Maintain/review existing policies;
- Approve new policies;
- Publish policies;
- Establish Policy Creation Authorities.

The CAPL PAA is not responsible for:

- The creation of CAPL policies;
- The administration of the CAPL RCA.

Where a Certificate Policy Statement requires amendment, the CAPL PAA shall seek input where appropriate or where required from one or more of the following:

- End User;
- client;
- other Policy Approval Authorities.

### 6.2 Rights of the CAPL PAA

The CAPL PAA shall:

- make determinations on which CAPL policies are approved for implementation;
- approve, reject or modify policy submissions from the Policy Creation Authority.

## 7. STRUCTURE OF THE CAPL PAA

### 7.1 Overview

The following section describes the structure and make-up of the CAPL PAA. This section also includes details of the PAA member's voting rights and appointing representatives to act on the member's behalf.

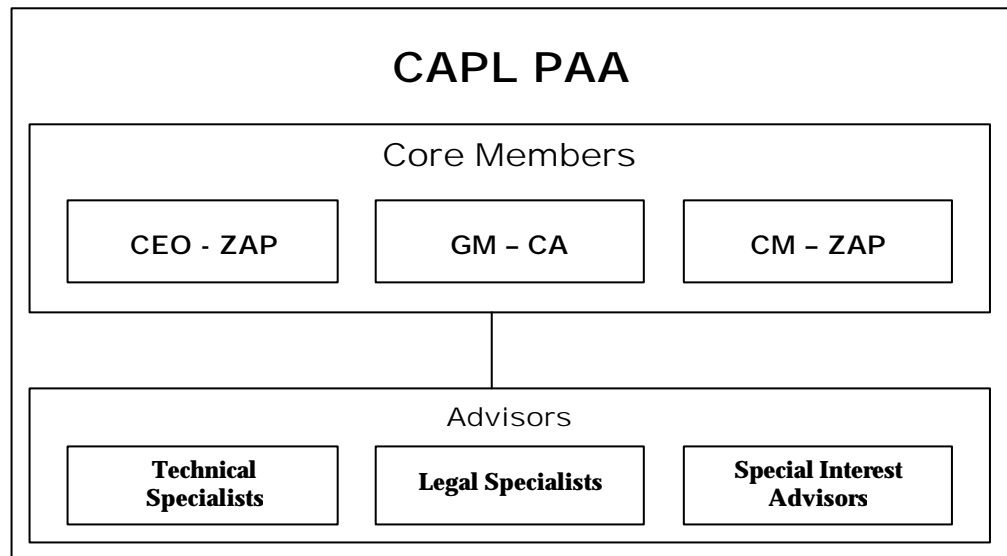
### 7.2 Structure

The CAPL PAA shall be made up of:

- Core members;
- Advisors.

Figure 7.2.1 shows the structure of the CAPL PAA.

**Figure 7.2.1 – Structure of the CAPL PAA**



#### 7.2.1 Core Members

The core members of the CAPL PAA are:

1. Managing Director – Baltimore Technologies (MD);
2. General Manager – bcol (GM – bcol);
3. Commercial Manager – Baltimore Technologies . (CM – ZAP).

### 7.2.2 Advisors

The CAPL PAA may call upon other individuals for expert opinion. These additional members act in an advisory capacity.

Advisors may include:

- Technical specialists;
- Legal specialists;
- Special interest advisors;
- Such other persons as the CAPL PAA core members may deem appropriate.

### 7.2.3 Delegation

If unable to attend a meeting, CAPL PAA core members may nominate a representative.

This representative must possess an equivalent level of knowledge to the core member.

### 7.2.4 Voting rights

- Members, or their nominated representatives, each have one vote;
- Advisors may not vote.

## 7.3 Authority

The CAPL PAA has overall authority for:

- Approving policy within the hierarchy;
- Approving the establishment of new Policy Creation Authorities (PCAs);
- Ensuring the integrity of the PKI policy structures.

The PCA is responsible for formulating new policies relating to a specific part of a PKI. A PCA will usually be established to compliment a new CA, however this is not mandatory.

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## 8. CAPL PAA MEETINGS

This section provides guidelines for convening a meeting including:

- Classes of meetings;
- Structure of meetings;
- Convening a meeting;
- Establishing agenda items;
- Voting;
- Recording minutes and action items;
- Process for CAPL PAA approval out of session;
- Mechanism for communication.

### 8.1 Classes of meetings

The PAA shall meet:

1. Annually;
2. Ad hoc.

#### 8.1.1 Annual meetings

Annual meetings shall be held a minimum of 30 days prior to the end of the Baltimore financial year. The rationale being for a report to be forwarded to the MD who will consider it's inclusion in the Annual Report.

#### 8.1.2 Ad hoc meetings

Ad hoc meetings will be held as required with the minimum time between these meetings being no less than 3 months. These meetings shall be called by the General Manager – BCOL.

### 8.2 Structure of meetings

#### 8.2.1 Annual meetings

Annual meetings:

- Shall be formal in nature;
- Require all CAPL PAA core members or their nominated representative to attend;
- Agendas shall be prepared prior to the scheduled meeting;
- Agendas shall be distributed to the CAPL PAA core members prior to the meeting for approval;
- A chairperson shall be elected for the meeting;
- Minutes of the meeting shall be distributed.

### 8.2.2 Ad hoc meetings

Where there is only a single PCA submission to be considered by the PAA, approval shall be sought out of session.

Where there are several PCA submissions to be considered by the PAA, a formal meeting shall be convened.

## 8.3 Convening a meeting

A notice of a CAPL PAA meeting shall specify the:

- name and title of CAPL PAA core members, including their nominated representatives;
- place;
- day, date and the time of the meeting, and;
- an agenda.

Notice of a CAPL PAA meeting shall be provided via email.

## 8.4 Establishing agenda items

Agenda items may be proposed by a CAPL PAA core member prior to the meeting being held. These items shall be included in the notification of the meeting.

## 8.5 Voting

Voting rights are only granted to the core members of the CAPL PAA.

A vote shall only be called upon once a policy has been reviewed and discussed.

## 8.6 Recording minutes and action items

The CAPL PAA shall keep appropriate records of the business of the CAPL PAA. These shall include but not be limited to:

- CAPL PAA core members, their nominated representatives and advisors in attendance;
- Place, Date and time;
- Agenda;
- Minutes of the meeting;
- Copies of any proposals submitted;
- Resolutions.

Minutes of the CAPL PAA meetings shall be made available for members to reference.

## 8.7 Process for CAPL PAA approval out of session

The CAPL PAA will meet quarterly. The following is the process for gaining approval for policies out of session.

- The need for approval of an item shall originate from the General Manager – CA;
- Relevant documentation shall be forwarded to the CAPL PAA core members and to whoever the General Manager – BCOL deems appropriate;
- Comments and/or votes shall be returned to the General Manager – CA 30 days from the date of receiving the proposal;
- All comments and/or votes shall be collated and forwarded to the CAPL PAA core members;
- If there is a concern by one of the CAPL PAA core members, the General Manager – CA shall liaise with that core member to come to an agreeable solution;
- When a majority vote is received, the proposal shall be passed and acted on accordingly.

## 8.8 Mechanism for communication

A notice, submission or any other communication to the CAPL PAA must be in the following approved form:

Electronic – provided that the notice has been digitally signed under a recognised CP.

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## APPENDIX A – POLICIES APPROVED BY THE PAA

Policies that the CAPL PAA approve are as follows:

### Root Certification Authority policies

Relating to:

- RCA generation of its own keys and the issue of a self signed certificate publishing the public key;
- Certification of the public key of a subordinate CA when requested to do so;
- Operation of the RCA;
- Administration of subordinate policy infrastructure maintaining total integrity of PKI.

### Certification Authority policies

Relating to:

- Generation of CA keys;
- Submission of CA public key to the RCA for certification;
- Processing of certificate requests from Registration Authorities that relate to end users;
- Issuance of certificates for end users in accordance with the Certificate Policy Statement.

### Registration Authority policies

Relating to:

- Registration of users and verifying their identity;
- Generation of end user keys for individuals or acceptance of end user generated keys;
- Submission of the generated end user public keys to the CAPL CA for Certification.

### Archive Authority policies

Relating to the secure archiving of confidentiality private keys of users.

### Protocol key policies

Relating to keys issued by a User CA and used by the User CA to sign messages.

## Certificate Policy Statements

Relating to each certificate issued by the CA in terms of its approved usage and validity. This statement describes:

- PKI Certification framework;
- Mechanisms supporting the application, issuance, acceptance and usage of certificates by the CA;
- The CA's legal obligations and limitations.

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