Issued

Approval Profile for Certificate Dissemination

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Executive summary

This document defines the *tScheme* criteria against which organisations must be successfully assessed in order to be eligible for a Grant of Approval or *tScheme*-Ready Status for the provision of Certificate Dissemination Services.

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tSd	2.00	2001-11-13	Incorporates only minor editorial changes, including: correction of syntactic errors, incorporation of document maintenance automation, various minor changes in conformance with new document management standards (including the type letter "d" added to the document reference) and the addition of this document history. There have been no significant changes to content or semantics.	*tScheme* Board
tSd	3.00	2002-06-21	Incorporates the following changes: Editorial: 1. Removal of §4 'About evidence'. 2. Incorporation of criteria tagging. 3. Addition of a linked Clause compliance table. 4. Incorporation of *tScheme*-Ready text. 5. Minor editorial changes to achieve better consistency across the different Approval Profiles. 6. Reference to 'Model Specification of Service Subject to Assessment' rather than 'Preparing for an Assessment', which also includes removal of opportunity to have more than one Service within the scope of an S3A. Affecting Assessment: 1. Requirements relating to how and to whom Service information is to be presented have been clarified and harmonised across all of the Approval Profiles. Specific forms of presentation are required, and a distinction is now made between information that is to be provided to users and information that is to be provided for the Assessors. 2. The "Service Being Provided" requirement has been relaxed to avoid the Catch 22 situation of *tScheme* requiring a Service to be already in use with customers who may not be	*tScheme* Board

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Status	Release	Date	Comment	Approved
			prepared to use it until it has acquired *tScheme* approval.	
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1. INTRODUCTION

1.1 Conventions

For ease of reference from other documents, each clause is given a tag and a title, adopting the general form of a Common Criteria Protection Profile, as follows:

GENID-000 Text describing the Clause Tag

1.2 General

This Approval Profile is one of a number developed by *tScheme* against which TSPs offering Trust Services may be assessed by *tScheme*-recognised Assessors. It addresses the provision of a Certificate Dissemination Service and may be one of a selection that a TSP has identified within the definition of its Service Subject to Assessment. It shall, as a minimum, be applied in combination with the Base Approval Profile.

Full details of Approval Profiles and the Approval Process may be found on the *tScheme* website.

Definitions of terms and acronyms not defined in this document may be found in the *tScheme* Glossary of Terms.

Although the wording of this Approval Profile relates to Assessments for *tScheme* Service Approvals, the Profile is also intended to be applicable to *tScheme*-Ready Assessments. For use in the latter context:

- references to "Service Provider" shall be taken to mean "Component Supplier";
- references to "Service" shall be taken to mean "Service Component";
- references to "Service Subject to Assessment", or SSA, shall be taken to mean "Component Subject to Assessment", or CSA;
- references to "Specification of Service Subject to Assessment", or S3A shall be taken to mean "Specification of Service Component Subject to Assessment", or C3A.

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2. SCOPE AND RELATION TO OTHER PROFILES.

The criteria given in this Approval Profile are related to the provision of Services that perform either or both of the following functions:

1. the Provision of certificates to subscribers and, if the subscriber requests or permits, to potential relying parties;

2. the Publication of a certificate through it being held in a repository for subsequent retrieval.

With the exception of the Base Approval Profile, the criteria given in this Approval Profile are not directly related to any other Approval Profiles, i.e. this Profile may be used in isolation and is not dependant upon a successful Assessment against any other Approval Profile.

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3. CRITERIA

The applicability of this Approval Profile shall be described in a "Specification of Service Subject to Assessment" (S3A) as defined in "Model Specification of Service Subject to Assessment".

Compliance with this Approval Profile will be achieved by demonstrating compliance with the following criteria:

CR-010 Operational Service

Each SSA shall be an Operational Service (in the sense defined in the *tScheme* Glossary of Terms) supporting the statements given in response to the criteria listed in the succeeding sections below.

3.1 Service information

3.1.1 Information for users

The following information shall be made available to potential users of the Service (including relying parties) by being present in either the Service's Service Policy, Service Policy Disclosure Statement, Service Practice Statement, or Public Service Description, as appropriate to their purpose:

SI-010 Certificate Dissemination under CP

- the manner in which dissemination is conducted in accordance with the Certificate Policy of the CA;

SI-020 Certificate Dissemination Requests

- the manner in which requests for the dissemination of certificates may be received and are authenticated;

SI-030 Certificate Dissemination Response

- the response times which it offers to properly authenticated requests for certificate provision, and where also requested, publication;

SI-040 Certificate Dissemination Manner

- the manner in which Certificates are disseminated (e.g. active 'push' to the subscriber, or passive 'pull' from the subscriber);

SI-050 Certificate Dissemination Publication

- the manner in which Certificates are published (e.g. active 'push' to the relying community, or passive 'pull' from the relying community);

SI-060 Certificate Dissemination Access

- whether certificates are published to a closed or public community and what form of access control is applied where closed.

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3.1.2 Information for Assessors

The following information shall appear either in the Service's Service Practice Statement or in the Assessor's Service Definition (*tScheme* does not require it to be made generally available).

SI-070 Certificate Provision mechanism

- The TSP shall state clearly the mechanisms by which certificates are provided to subscribers.

SI-080 Certificate Publication mechanism

- The TSP shall state clearly the mechanisms by which certificates are published for relying party access.

3.2 Certificate dissemination mechanism(s)

CD-010 Consent for Certificate Publication

The TSP shall ensure that certificates are available for retrieval only in those cases in which the subscriber's consent has been obtained.

3.3 Records

RECS-010 Agreement with the Subscriber

The TSP shall record an agreement with the subscriber including:

RECS-020 Conditions for Certificate Publication

- whether, and under what conditions, the subscriber requires and consents to the publication of its certificate;

RECS-030 Correctness of Certificate Content

- that the information held in the certificate as being correct.

RECS-040 Capture and retention of records

The TSP shall capture and retain records of all actions undertaken, and the time at which they occurred. It shall also state the period for which such records are to be retained, with a clear justification for the basis of determining the stated period.

The records captured shall include:

RECS-050 Actions on Certificate Dissemination

- actions concerning the dissemination of certificates;

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RECS-060 Dissemination Request Authentication Data

- the authentication data relating to the source of the request from the certificate generation function and its parameters.

RECS-070 Service Changes

Additionally, the TSP shall keep records of any Service-specific changes in status that may affect their claim of conformance with this *tScheme* Approval Profile (or any on which a claim of conformance is based).

RECS-080 Internal audit records

Furthermore, the TSP shall show that they have in place appropriate audit procedures to apply self-monitoring and provide evidence of such records where the Service is already Operational.

RECS-090 Access to records protected

These records shall be protected against unauthorised access and be made available within a reasonable period following a properly justified and authorised request.

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4. REFERENCES

None.

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ANNEX 1. CLAUSE COMPLIANCE LIST

Approval Profile for Certificate Dissemination - clause compliance list		
Clause	**Description**	**Compliance**
CR-010	Operational Service	
SI-010	Certificate Dissemination under CP	
SI-020	Certificate Dissemination Requests	
SI-030	Certificate Dissemination Response	
SI-040	Certificate Dissemination Manner	
SI-050	Certificate Dissemination Publication	
SI-060	Certificate Dissemination Access	
SI-070	Certificate Provision mechanism	
SI-080	Certificate Publication mechanism	
CD-010	Consent for Certificate Publication	
RECS-010	Agreement with the Subscriber	
RECS-020	Conditions for Certificate Publication	
RECS-030	Correctness of Certificate Content	
RECS-040	Capture and retention of records	
RECS-050	Actions on Certificate Dissemination	
RECS-060	Dissemination Request Authentication Data	
RECS-070	Service Changes	
RECS-080	Internal audit records	
RECS-090	Access to records protected	

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