

**Certification Practice Statement  
of the DFN-PKI  
– Security Level “Global” –**

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## Contents

<b>1</b>	<b>Introduction</b>	<b>4</b>
1.1	Overview	4
1.2	Document Name and Identification	4
1.3	PKI Participants	4
1.4	Certificate Usage	4
1.5	Policy Administration	4
1.6	Definitions and Acronyms	4
<b>2</b>	<b>Publication and Repository Responsibilities</b>	<b>4</b>
<b>3</b>	<b>Identification and Authentication</b>	<b>4</b>
<b>4</b>	<b>Certificate Life-Cycle Operational Requirements</b>	<b>4</b>
<b>5</b>	<b>Facility, Management and Operational Controls</b>	<b>5</b>
5.1	Physical Controls	5
5.2	Procedural Controls	5
5.3	Personnel Controls	5
5.4	Audit Logging Procedures	6
5.5	Records Archival	7
5.6	Key Changeover	8
5.7	Compromise and Disaster Recovery	8
5.8	CA or RA Termination	8
<b>6</b>	<b>Technical Security Controls</b>	<b>8</b>
6.1	Key Pair Generation and Installation	8
6.2	Private Key Protection and Cryptographic Module Engineering Controls	8
6.3	Other Aspects of Key Pair Management	8
6.4	Activation Data	8
6.5	Computer Security Controls	8
6.6	Life Cycle Security Controls	8
6.7	Network Security Controls	9
6.8	Time-Stamping	9
<b>7</b>	<b>Certificate, CRL and OCSP Profiles</b>	<b>9</b>
<b>8</b>	<b>Compliance Audit and Other Assessments</b>	<b>9</b>
<b>9</b>	<b>Other Business and Legal Matters</b>	<b>9</b>
<b>10</b>	<b>References</b>	<b>9</b>
<b>11</b>	<b>Glossary</b>	<b>9</b>

# 1 Introduction

## 1.1 Overview

In the framework of the DFN-PKI, the DFN-Verein operates for the Global Security Level the Policy Certification Authority, (DFN-PCA) and all subordinate certification authorities (Sub-CAs).

This document is the *Certification Practice Statement of the DFN-PKI – Security Level “Global” – (CPS)* of DFN-PCA and all Sub-CAs for the Global Security Level. It covers specifications, processes, and technical security measures of the DFN-PCA and all Sub-CAs for the issuing of certificates.

This document belongs together with the Certificate Policy (CP) of the DFN-PKI in the currently valid version: “Certificate Policy der DFN-PKI – Global Security Level – ”.

In the following, reference is made to DFN-PKI and DFN-PCA solely in the context of the Global Security Level.

The work of the DFN-PCA and all sub-CAs is carried out on behalf of the DFN-Verein by the DFN-CERT Services GmbH.

## 1.2 Document Name and Identification

This document is identified as follows.

- Title: Certification Practice Statement der DFN-PKI – Security Level “Global” –
- Version: 5 (non-authoritative English translation)
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## 1.3 PKI Participants

See CP.

## 1.4 Certificate Usage

See CP.

## 1.5 Policy Administration

See CP.

## 1.6 Definitions and Acronyms

See CP.

## 2 Publication and Repository Responsibilities

See CP.

## 3 Identification and Authentication

See CP.

## 4 Certificate Life-Cycle Operational Requirements

See CP.

## **5 Facility, Management and Operational Controls**

### **5.1 Physical Controls**

#### **5.1.1 Site Location and Construction**

The technical systems of all CAs are located in the operational premises of the DFN-PCA. The premises provide sufficient protection in terms of infrastructure security measures.

#### **5.1.2 Physical Access**

Access to the operational premises of the DFN-PCA secured by suitable technical and infrastructure measures and is only permitted for authorised personnel. Access by third parties is governed by visitor regulations.

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

The power supply is installed in accordance with the relevant standards; air conditioning is provided for the operational rooms for the technical infrastructure.

#### **5.1.4 Water Exposures**

The operational rooms for the technical infrastructure are appropriately protected against damage by water.

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

The fire protection regulations are complied with; sufficient numbers of hand-held fire extinguishers are available.

#### **5.1.6 Media Storage**

Paper documents relating to certification are stored in a locked steel cabinet. Data storage media with key material of CAs and backup media are stored in a safe of VdS Class I or higher.

#### **5.1.7 Waste Disposal**

Information on electronic data storage media and on paper shall be destroyed in a qualified manner and then suitably disposed of by a service provider.

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

External backup media are stored in a bank deposit box.

### **5.2 Procedural Controls**

#### **5.2.1 Trusted Roles**

See CP.

#### **5.2.2 Number of Persons Required per Task**

See CP.

#### **5.2.3 Identification and Authentication for Each Role**

See CP.

#### **5.2.4 Roles Requiring Separation of Duties**

See CP.

### **5.3 Personnel Controls**

#### **5.3.1 Qualifications, Experience and Clearance Requirements**

The personnel of the DFN-PCA are appointed by the management. They meet all the necessary requirements regarding trustworthiness, integrity, reliability and expertise. In addition to qualifications in the field of computer sciences they have appropriate expertise in the fields of:

- Security technology, cryptography, electronic signatures, PKI
- International standards, technical codes of practice
- National and international jurisdiction
- Unix/Linux operating systems, TCP/IP networks and relational databases
- The employers of personnel with security-critical roles shall keep them free from conflicts of interests with the policy of DFN-PKI which could impair their impartiality.

### **5.3.2 Background Check Procedures**

For all personnel of the DFN-PCA, a police certificate of good conduct shall be held that is not more than three years old. Before their certificate exceeds the three year period, a co-worker shall be called on to present a new certificate of good conduct.

### **5.3.3 Training Requirements**

In the DFN-PCA, only qualified personnel shall be employed for whom suitable training is provided at regular intervals. Records of the training shall be archived in accordance with the provisions of Section 5.5. Personnel shall require documentation that they possess the required skills before being allowed to carry out a specific task.

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

The frequency of training is oriented on the requirements of the DFN-PCA; as a rule, retraining shall be provided annually. Training sessions shall also be provided after the introduction of new regulations, IT systems and security technology.

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

There are no requirements on job rotation.

### **5.3.6 Sanctions for Unauthorised Actions**

Unauthorised actions that endanger the security of the IT systems of DFN-PCA or that breach data protection regulations shall meet with disciplinary sanctions and the individual shall be released from their duty if appropriate. In cases of criminal relevance, the responsible authorities shall be informed.

Applicant representatives who breach their obligations shall be retrained. In the event of repeated breaches they shall be relieved of their duty and the corresponding certificate revoked.

### **5.3.7 Independent Contractor Requirements**

The employment contracts of the personnel of DFN-PCA are governed by the laws of the Federal Republic of Germany. All personnel are bound to confidentiality in accordance with the legal provisions for data protection.

### **5.3.8 Documentation Supplied to the personnel**

In addition to the CP and this CPS, the personnel of DFN-PCA also have access to the operating manual of DFN-PCA.

## **5.4 Audit Logging Procedures**

### **5.4.1 Types of Events Recorded**

To defend against attacks, on the technical systems of the DFN-PCA, and to confirm the orderly functioning of the DFN-PCA, among other things the following events shall be recorded in the form of audit logs (e.g. electronic log files or paper records) together with the time when the event occurred:

- Booting
- Failed login attempts
- Receipt and approval of certificate applications and revocation applications (registration data and events)

- Issuance and revocation of certificates
- Setting up or amending duty allocations and entitlements
- Creation and revocation of CA certificates
- Creation, storage, back-up, recovery, or destruction of private keys of CA certificates
- The system time shall be synchronised with a reference time, e.g. via GPS or DCF77. Suitable measures shall be used to ensure the precision and monotony of the time in accordance with the state of the art.
- The audit log data shall be archived in accordance with the relevant requirements (See Section 5.5).

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

The audit logs shall be checked at regular intervals, at least one a month. If unusual events are suspected then special checks shall be carried out.

#### **5.4.3 Retention Period for Audit Log**

Audit logs shall be retained for at least seven years after termination of all certificates related to the audit.

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

Electronic log-files shall be protected against access, deletion and manipulation by means of the operating system, and shall only be accessible by the system and network administrators.

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

The audit logs shall be backed up regularly together with other relevant data of DFN-PCA.

#### **5.4.6 Audit Collection System**

An internal monitoring system is used.

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

Serious events shall be immediately reported to the security officer. Necessary steps shall be taken in cooperation with the system administrators in order to respond adequately, if appropriate the management shall be informed.

#### **5.4.8 Vulnerability Assessment**

Vulnerabilities are investigated by DFN-PCA or by the manufacturer of the software used.

### **5.5 Records Archival**

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

Documents and data from certificate applications, documents and data from the verification of the entries in certificate applications, issued certificates, as well as revocation information concerning certificates are archived.

#### **5.5.2 Retention Period for Archive**

The data specified in 5.5.1 shall be retained for at least seven years after all Certificates based on the documentation cease to be valid.

#### **5.5.3 Protection of Archive**

Suitable measures will be taken to ensure that the data cannot be changed, deleted, read without authorisation or copied. Furthermore its will be ensured that the relevant application for each certificate can be uniquely identified.

#### **5.5.4 Archive Backup Procedures**

The data listed in Section 5.4.1 and Section 5.5.1 are backed up on tape or CD-ROM on the basis of a data security strategy as follows:

- Incremental backup on every working day
- Complete weekly backup
- Monthly archive backup
- The backup media are stored in the premises outside the server rooms and in a bank deposit box outside the premises.

#### **5.5.5 Requirements for Time-Stamping of Records**

System time used for time-stamping is synchronized with a DCF77 clock.

#### **5.5.6 Archive Collection System**

An internal archiving system is used.

#### **5.5.7 Procedures to Obtain and Verify Archive Information**

The security officer is entitled to authorise the obtaining and verifying of archived data.

### **5.6 Key Changeover**

See CP.

### **5.7 Compromise and Disaster Recovery**

See CP.

### **5.8 CA or RA Termination**

See CP.

## **6 Technical Security Controls**

### **6.1 Key Pair Generation and Installation**

See CP.

### **6.2 Private Key Protection and Cryptographic Module Engineering Controls**

See CP.

### **6.3 Other Aspects of Key Pair Management**

See CP.

### **6.4 Activation Data**

See CP.

### **6.5 Computer Security Controls**

See CP.

### **6.6 Life Cycle Security Controls**

#### **6.6.1 System Development**

Software is developed by qualified personnel in a secure development environment. Software (whether produced internally or by third parties) is only used on a productive system after checking and release. Details of the software development are contained in the internal operating manual (*Betriebshandbuch der DFN-PKI*).

#### **6.6.2 Security Management**

The security management covers the following aspects:

- Annual audit (compliance testing)



- Regular evaluation and further development of the security strategy
- Checking security for on-going operations (See Section 5.4)
- Regular integrity testing of the applications and operating systems
- Central logging of all security-relevant events
- Cooperation with DFN-CERT
- Upgrading or patching as necessary
- At least weekly check of the configurations according to chapter 3h) of the Network and Certificate System Security Requirements of the CA/Browser Forum

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

Hardware and software for issuance systems are continuously maintained. Life cycle procedures for evaluated systems, e.g. HSMs, are strictly followed.

### **6.7 Network Security Controls**

The network of the DFN-PCA is divided into various security zones which are separated from one another by a firewall system. Intrusion Prevention and Detection Systems are used to defend against attacks from the Internet and from the Intranet. Critical security incidents are immediately followed up and investigated in cooperation with DFN-CERT. For all Firewall Systems, a regulatory system is activated that only permits the network traffic that is allowed in a defined communications matrix. Details of the security measures for the network are contained in the internal operating manual (*Betriebshandbuch der DFN-PKI*).

### **6.8 Time-Stamping**

See CP.

## **7 Certificate, CRL and OCSP Profiles**

See CP.

## **8 Compliance Audit and Other Assessments**

See CP.

## **9 Other Business and Legal Matters**

See CP.

## **10 References**

See CP.

## **11 Glossary**

See CP.