

Google Trust Services, Certificate Policy v1.11

Contents

1. Introduction	9
1.1. Overview	9
1.2. Document name and identification	9
1.2.1 Revisions	10
1.2.2 Relevant Dates	10
1.3. PKI participants	10
1.3.1. Certification authorities	10
1.3.2. Registration authorities	10
1.3.3. Subscribers	11
1.3.4. Relying parties	11
1.3.5. Other participants	11
1.4. Certificate usage	11
1.4.1. Appropriate certificate uses	11
1.4.2. Prohibited certificate uses	12
1.5. Policy administration	12
1.5.1. Organization administering the document	12
1.5.2. Contact person	12
1.5.3. Person determining CPS suitability for the policy	12
1.5.4. CP approval procedures	12
1.6. Definitions and acronyms	12
1.6.1. Conventions	12
2. PUBLICATION AND REPOSITORY RESPONSIBILITIES	13
2.1. Repositories	13
2.2. Publication of certification information	13
2.3. Time or frequency of publication	13
2.4. Access controls on repositories	13
3. IDENTIFICATION AND AUTHENTICATION	14
3.1. Naming	14
3.1.1. Types of names	14
3.1.2. Need for names to be meaningful	14
3.1.3. Anonymity or pseudonymity of subscribers	14
3.1.4. Rules for interpreting various name forms	14
3.1.5. Uniqueness of names	14
3.1.6. Recognition, authentication, and role of trademarks	14
3.2. Initial identity validation	14
3.2.1. Method to prove possession of private key	14
3.2.2. Authentication of organization identity	14

3.2.2.1. Identity	15
3.2.2.2. DBA/Tradename	15
3.2.2.3. Verification of Country	15
3.2.2.4 Validation of Domain Authorization or Control	15
3.2.2.4.1 Validating the Applicant as a Domain Contact	16
3.2.2.4.2 Email, Fax, SMS, or Postal Mail to Domain Contact	16
3.2.2.4.3 Phone Contact with Domain Contact	16
3.2.2.4.4 Constructed Email to Domain Contact	17
3.2.2.4.5 Domain Authorization Document	17
3.2.2.4.6 Agreed-Upon Change to Website	17
3.2.2.4.7 DNS Change	17
3.2.2.4.8 IP Address	18
3.2.2.4.9 Test Certificate	18
3.2.2.4.10 TLS Using a Random Number	18
3.2.2.4.11 Any Other Method	18
3.2.2.4.12 Validating Applicant as a Domain Contact	18
3.2.2.4.13 Email to DNS CAA Contact	18
3.2.2.4.14 Email to DNS TXT Contact	19
3.2.2.4.15 Phone Contact with Domain Contact	19
3.2.2.4.16 Phone Contact with DNS TXT Record Phone Contact	20
3.2.2.4.17 Phone Contact with DNS CAA Phone Contact	20
3.2.2.4.18 Agreed-Upon Change to Website v2	20
3.2.2.4.19 Agreed-Upon Change to Website - ACME	21
3.2.2.5. Authentication for an IP Address	21
3.2.2.6. Wildcard Domain Validation	24
3.2.2.7. Data Source Accuracy	24
3.2.2.8. CAA Records	24
3.2.3. Authentication of individual identity	25
3.2.4. Non-verified subscriber information	26
3.2.5. Validation of authority	26
3.2.6. Criteria for interoperation	26
3.3. Identification and authentication for re-key requests	26
3.3.1. Identification and authentication for routine re-key	26
3.3.2. Identification and authentication for re-key after revocation	26
3.4. Identification and authentication for revocation request	26
4. CERTIFICATE LIFE-CYCLE OPERATIONAL REQUIREMENTS	27
4.1. Certificate Application	27
4.1.1. Who can submit a certificate application	27
4.1.2. Enrollment process and responsibilities	27
4.2. Certificate application processing	27
4.2.1. Performing identification and authentication functions	27
4.2.2. Approval or rejection of certificate applications	28
4.2.3. Time to process certificate applications	28
4.3. Certificate issuance	28
4.3.1. CA actions during certificate issuance	28
4.3.2. Notification to subscriber by the CA of issuance of certificate	28
4.4. Certificate acceptance	28

4.4.1. Conduct constituting certificate acceptance	28
4.4.2. Publication of the certificate by the CA	29
4.4.3. Notification of certificate issuance by the CA to other entities	29
4.5. Key pair and certificate usage	29
4.5.1. Subscriber private key and certificate usage	29
4.5.2. Relying party public key and certificate usage	29
4.6. Certificate renewal	29
4.6.1. Circumstance for certificate renewal	29
4.6.2. Who may request renewal	29
4.6.3. Processing certificate renewal requests	29
4.6.4. Notification of new certificate issuance to subscriber	29
4.6.5. Conduct constituting acceptance of a renewal certificate	29
4.6.6. Publication of the renewal certificate by the CA	29
4.6.7. Notification of certificate issuance by the CA to other entities	29
4.7. Certificate re-key	30
4.7.1. Circumstance for certificate re-key	30
4.7.2. Who may request certification of a new public key	30
4.7.3. Processing certificate re-keying requests	30
4.7.4. Notification of new certificate issuance to subscriber	30
4.7.5. Conduct constituting acceptance of a re-keyed certificate	30
4.7.6. Publication of the re-keyed certificate by the CA	30
4.7.7. Notification of certificate issuance by the CA to other entities	30
4.8. Certificate modification	30
4.8.1. Circumstance for certificate modification	30
4.8.2. Who may request certificate modification	30
4.8.3. Processing certificate modification requests	30
4.8.4. Notification of new certificate issuance to subscriber	30
4.8.5. Conduct constituting acceptance of modified certificate	30
4.8.6. Publication of the modified certificate by the CA	31
4.8.7. Notification of certificate issuance by the CA to other entities	31
4.9. Certificate revocation and suspension	31
4.9.1. Circumstances for revocation	31
4.9.1.1. Reasons for Revoking a Subscriber Certificate	31
4.9.1.2. Reasons for Revoking a Subordinate CA Certificate	32
4.9.2. Who can request revocation	32
4.9.3. Procedure for revocation request	32
4.9.4. Revocation request grace period	33
4.9.5. Time within which CA MUST process the revocation request	33
4.9.6. Revocation checking requirement for relying parties	33
4.9.7. CRL issuance frequency (if applicable)	33
4.9.8. Maximum latency for CRLs (if applicable)	34
4.9.9. On-line revocation/status checking availability	34
4.9.10. On-line revocation checking requirements	34
4.9.11. Other forms of revocation advertisements available	35
4.9.12. Special requirements related to key compromise	35
4.9.13. Circumstances for suspension	35
4.9.14. Who can request suspension	35

4.9.15. Procedure for suspension request	35
4.9.16. Limits on suspension period	35
4.10. Certificate status services	35
4.10.1. Operational characteristics	35
4.10.2. Service availability	35
4.10.3. Optional features	35
4.11. End of subscription	36
4.12. Key escrow and recovery	36
4.12.1. Key escrow and recovery policy and practices	36
4.12.2. Session key encapsulation and recovery policy and practices	36
5. MANAGEMENT, OPERATIONAL AND PHYSICAL CONTROLS	37
5.1. Physical controls	38
5.1.1. Site location and construction	38
5.1.2. Physical access	38
5.1.3. Power and air conditioning	38
5.1.4. Water exposures	38
5.1.5. Fire prevention and protection	38
5.1.6. Media storage	38
5.1.7. Waste disposal	38
5.1.8. Off-site backup	38
5.2. Procedural controls	38
5.2.1. Trusted roles	38
5.2.2. Number of persons required per task	38
5.2.3. Identification and authentication for each role	39
5.2.4. Roles requiring separation of duties	39
5.3. Personnel controls	39
5.3.1. Qualifications, experience, and clearance requirements	39
5.3.2. Background check procedures	39
5.3.3. Training requirements	39
5.3.4. Retraining frequency and requirements	39
5.3.5. Job rotation frequency and sequence	39
5.3.6. Sanctions for unauthorized actions	39
5.3.7. Independent contractor requirements	40
5.3.8. Documentation supplied to personnel	40
5.4. Audit logging procedures	40
5.4.1. Types of events recorded	40
5.4.2. Frequency of processing log	41
5.4.3. Retention period for audit log	41
5.4.4. Protection of audit log	41
5.4.5. Audit log backup procedures	41
5.4.6. Audit collection system (internal vs. external)	41
5.4.7. Notification to event-causing subject	41
5.4.8. Vulnerability assessments	41
5.5. Records archival	41
5.5.1. Types of records archived	41
5.5.2. Retention period for archive	41
5.5.3. Protection of archive	42

5.5.4. Archive backup procedures	42
5.5.5. Requirements for time-stamping of records	42
5.5.6. Archive collection system (internal or external)	42
5.5.7. Procedures to obtain and verify archive information	42
5.6. Key changeover	42
5.7. Compromise and disaster recovery	42
5.7.1. Incident and compromise handling procedures	42
5.7.2. Recovery procedures if computing resources, software, and/or data are corrupted	43
5.7.3. Recovery procedures after key compromise	43
5.7.4. Business continuity capabilities after a disaster	43
5.8. CA or RA termination	43
6. TECHNICAL SECURITY CONTROLS	44
6.1. Key pair generation and installation	44
6.1.1. Key pair generation	44
6.1.1.1. CA Key Pair Generation	44
6.1.1.2. RA key pair generation	44
6.1.1.3. Subscriber key pair generation	44
6.1.2. Private key delivery to subscriber	44
6.1.3. Public key delivery to certificate issuer	45
6.1.4. CA public key delivery to relying parties	45
6.1.5. Algorithm Type and key sizes	45
6.1.6. Public key parameters generation and quality checking	45
6.1.7. Key usage purposes (as per X.509 v3 key usage field)	46
6.2. Private Key Protection and Cryptographic Module Engineering Controls	46
6.2.1. Cryptographic module standards and controls	46
6.2.2. Private key (n out of m) multi-person control	46
6.2.3. Private key escrow	46
6.2.4. Private key backup	46
6.2.5. Private key archival	46
6.2.6. Private key transfer into or from a cryptographic module	46
6.2.7. Private key storage on cryptographic module	47
6.2.8. Method of activating private key	47
6.2.9. Method of deactivating private key	47
6.2.10. Method of destroying private key	47
6.2.11. Cryptographic Module Rating	47
6.3. Other aspects of key pair management	47
6.3.1. Public key archival	47
6.3.2. Certificate operational periods and key pair usage periods	47
6.4. Activation data	47
6.4.1. Activation data generation and installation	47
6.4.2. Activation data protection	47
6.4.3. Other aspects of activation data	48
6.5. Computer security controls	48
6.5.1. Specific computer security technical requirements	48
6.5.2. Computer security rating	48
6.6. Life cycle technical controls	48

6.6.1. System development controls	48
6.6.2. Security management controls	48
6.6.3. Life cycle security controls	48
6.7. Network security controls	48
6.8. Time-stamping	48
7. CERTIFICATE, CRL, AND OCSP PROFILES	49
7.1. CERTIFICATE PROFILE	49
7.1.1. Version Number(s)	49
7.1.2. Certificate Content and Extensions; Application of RFC 5280	49
7.1.2.1. Root CA Certificate	49
7.1.2.2. Subordinate CA Certificate	49
7.1.2.3. Subscriber Certificate	50
7.1.2.4. All Certificates	51
7.1.2.5. Application of RFC 5280	52
7.1.3. Algorithm Object Identifiers	52
7.1.4. Name Forms	52
7.1.4.1. Issuer Information	52
7.1.4.2. Subject Information - Subscriber Certificates	52
7.1.4.2.2. Subject Distinguished Name Fields	53
7.1.4.3. Subject Information – Root Certificates and Subordinate CA Certificates	55
7.1.5. Name Constraints	55
7.1.6. Certificate Policy Object Identifier	56
7.1.6.1. Reserved Certificate Policy Identifiers	56
7.1.6.2. Root CA Certificates	57
7.1.6.3. Subordinate CA Certificates	57
7.1.6.4. Subscriber Certificates	57
7.1.7. Usage of Policy Constraints extension	58
7.1.8. Policy qualifiers syntax and semantics	58
7.1.9. Processing semantics for the critical Certificate Policies extension	58
7.2. CRL profile	58
7.2.1. Version number(s)	58
7.2.2. CRL and CRL entry extensions	58
7.3. OCSP profile	58
7.3.1. Version number(s)	58
7.3.2. OCSP extensions	58
8. COMPLIANCE AUDIT AND OTHER ASSESSMENTS	59
8.1. Frequency or circumstances of assessment	59
8.2. Identity/qualifications of assessor	59
8.3. Assessor’s relationship to assessed entity	60
8.4. Topics covered by assessment	60
8.5. Actions taken as a result of deficiency	60
8.6. Communication of results	61
8.7. Self-Audits	61
9. OTHER BUSINESS AND LEGAL MATTERS	62
9.1. Fees	62
9.1.1. Certificate issuance or renewal fees	62

9.1.2. Certificate access fees	62
9.1.3. Revocation or status information access fees	62
9.1.4. Fees for other services	62
9.1.5. Refund policy	62
9.2. Financial responsibility	62
9.2.1. Insurance coverage	62
9.2.2. Other assets	62
9.2.3. Insurance or warranty coverage for end-entities	62
9.3. Confidentiality of business information	62
9.3.1. Scope of confidential information	62
9.3.2. Information not within the scope of confidential information	62
9.3.3. Responsibility to protect confidential information	62
9.4. Privacy of personal information	63
9.4.1. Privacy plan	63
9.4.2. Information treated as private	63
9.4.3. Information not deemed private	63
9.4.4. Responsibility to protect private information	63
9.4.5. Notice and consent to use private information	63
9.4.6. Disclosure pursuant to judicial or administrative process	63
9.4.7. Other information disclosure circumstances	63
9.5. Intellectual property rights	63
9.6. Representations and warranties	63
9.6.1. CA representations and warranties	63
9.6.2. RA representations and warranties	64
9.6.3. Subscriber representations and warranties	65
9.6.4. Relying party representations and warranties	66
9.6.5. Representations and warranties of other participants	66
9.7. Disclaimers of warranties	66
9.8. Limitations of liability	66
9.9. Indemnities	66
9.10. Term and termination	66
9.10.1. Term	66
9.10.2. Termination	66
9.10.3. Effect of termination and survival	66
9.11. Individual notices and communications with participants	66
9.12. Amendments	67
9.12.1. Procedure for amendment	67
9.12.2. Notification mechanism and period	67
9.12.3. Circumstances under which OID MUST be changed	67
9.13. Dispute resolution provisions	67
9.14. Governing law	67
9.15. Compliance with applicable law	67
9.16. Miscellaneous provisions	67
9.16.1. Entire agreement	67
9.16.2. Assignment	67
9.16.3. Severability	67
9.16.4. Enforcement (attorneys' fees and waiver of rights)	67

9.16.5. Force Majeure	67
9.17. Other provisions	67
Appendix A: References	68
Definitions	68
Acronyms	74
References	75
Appendix B: Document History	77

1. Introduction

1.1. Overview

The Google Public Key Infrastructure (“Google PKI”), has been established by Google Trust Services, LLC (“Google”), to enable reliable and secure identity authentication, and to facilitate the preservation of confidentiality and integrity of data in electronic transactions.

This certificate policy (CP) is the principal statement of policy governing the CAs within the Google PKI. It sets forth the business, legal, and technical requirements for approving, issuing, managing, using, revoking, and renewing, Google Certificates and providing associated trust services for all Participants. These requirements protect the security and integrity of the Google PKI and comprise a single set of rules that apply consistently to all CAs therein, so as to provide assurance of uniform trust throughout it.

This CP conforms to the Certificate Policy and Certification Practices Framework of the Internet Engineering Task Force as defined in (IETF) RFC 3647. It also adopts the CA/Browser Forum’s Requirements for the Issuance and Management of Publicly-Trusted Certificates in their current version.

In the event of any inconsistency between this document and those Requirements, the CA/Browser Forum’s Requirements take precedence over this document.

1.2. Document name and identification

Google has reserved the following Object Identifiers (OIDs) for its issuance policies.

Policy Identifier	Google Trust Services Object Identifier (GTS OID)
This Certificate Policy (CP)	1.3.6.1.4.1.11129.2.5.3
signedHTTPExchanges*	1.3.6.1.4.1.11129.2.5.3.1
clientAuthentication*	1.3.6.1.4.1.11129.2.5.3.2
documentSigning*	1.3.6.1.4.1.11129.2.5.3.3

* These Policy Identifiers are reserved for future issuance and will be described in subsequent versions of this CP.

In addition to the GTS OIDs, all Certificates that comply with the BR shall include one of the following CA/B Forum Policy Identifiers:

- Domain Validation 2.23.140.1.2.1
- Organization Validation 2.23.140.1.2.2

All end entity certificates shall include the CP OID. In addition, they may include any number of OIDs that are specified under the GTS reserved policy OID arc of {iso(1) iso-identified-organization(3) dod(6) internet(1) private(4) enterprise(1) google(11129) 2(2) 5(5) 3(3)} (1.3.6.1.4.1.11129.2.5.3) or the CA/Browser Forum’s reserved policy OID arc of {joint-iso-itu-t(2) international-organizations(23) ca-browser-forum(140) certificate-policies(1)} (2.23.140.1).

Subject to the restrictions in Section 7.1.6 of this CP, CAs may issue certificates containing the “anyPolicy” identifier (2.5.29.32.0).

This CP applies to all CAs that issue certificates asserting a GTS OID. By including a GTS OID, the CA asserts that the certificate was issued and is managed in accordance with this CP and the relevant CPS.

1.2.1 Revisions

See Appendix.

1.2.2 Relevant Dates

Compliance	Section(s)	Summary Description (See Full Text for Details)
2017-09-01	3.2.2.8	CAs MUST check and process CAA records
2018-03-01	6.3.2	Certificates issued MUST have a Validity Period no greater than 825 days
2018-03-01	4.2.1	re-use of validation information limited to 825 days
2018-05-31	2.2	CP and CPS must follow RFC 3647 format
2018-10-14	4.9.1.	Revocation timelines extended
2019-01-15	7.1.4.2.1	All certificates containing an underscore character in any dNSName entry and having a validity period of more than 30 days MUST be revoked prior to January 15, 2019
2019-05-01	7.1.4.2.1	underscore characters MUST NOT be present in dNSName entries
2019-06-01	3.2.2.4.3	Phone Contact with Domain Contact retired as validation method
2019-08-01	3.2.2.5	CAs shall maintain record of IP validation method used
2019-08-01	3.2.2.5.4	CAs may no longer use “Any Other Method” for certificate validations
2020-06-03	3.2.2.4.6	CAs may not perform certificate validations using method 3.2.2.4.6

1.3. PKI participants

1.3.1. Certification authorities

Google Trust Services LLC is the Certification Authority (CA) authorized to issue public key certificates within the Google PKI.

1.3.2. Registration authorities

With the exception of sections 3.2.2.4 and 3.2.2.5, the CA MAY delegate the performance of all, or any part, of Section 3.2 requirements to a Delegated Third Party, provided that the process as

a whole fulfills all of the requirements of Section 3.2.

Before the CA authorizes a Delegated Third Party to perform a delegated function, the CA SHALL contractually require the Delegated Third Party to:

1. Meet the qualification requirements of Section 5.3.1, when applicable to the delegated function;
2. Retain documentation in accordance with Section 5.5.2;
3. Abide by the other provisions of these Requirements that are applicable to the delegated function; and
4. Comply with (a) the CA's Certificate Policy/Certification Practice Statement or (b) the Delegated Third Party's practice statement that the CA has verified complies with these Requirements.

The CA MAY designate an Enterprise RA to verify certificate requests from the Enterprise RA's own organization. The CA SHALL NOT accept certificate requests authorized by an Enterprise RA unless the following requirements are satisfied:

1. The CA SHALL confirm that the requested Fully-Qualified Domain Name(s) are within the Enterprise RA's verified Domain Namespace.
2. If the certificate request includes a Subject name of a type other than a Fully-Qualified Domain Name, the CA SHALL confirm that the name is either that of the delegated enterprise, or an Affiliate of the delegated enterprise, or that the delegated enterprise is an agent of the named Subject. For example, the CA SHALL NOT issue a Certificate containing the Subject name "XYZ Co." on the authority of Enterprise RA "ABC Co.", unless the two companies are affiliated (see Section 3.2) or "ABC Co." is the agent of "XYZ Co.". This requirement applies regardless of whether the accompanying requested Subject FQDN falls within the Domain Namespace of ABC Co.'s Registered Domain Name.

The CA SHALL impose these limitations as a contractual requirement on the Enterprise RA and monitor compliance by the Enterprise RA.

1.3.3. Subscribers

No stipulation.

1.3.4. Relying parties

A Relying Party is any individual or entity that acts in reliance on a Google Certificate to verify a digital signature and/or decrypt an encrypted document or message.

1.3.5. Other participants

Not applicable.

1.4. Certificate usage

1.4.1. Appropriate certificate uses

The primary goal of this Policy is to enable efficient and secure electronic communication, while addressing Relying Parties' concerns about the trustworthiness of Certificates.

1.4.2. Prohibited certificate uses

No stipulation.

1.5. Policy administration

1.5.1. Organization administering the document

Google Trust Services LLC
1600 Amphitheatre Parkway
Mountain View, CA 94043

1.5.2. Contact person

Information Security Team
contact@pki.goog

For security issues, such as vulnerability reports or external reports of key compromise, please contact security@pki.goog.

To notify Google of a CA service outage or make any other CA related request, please contact contact@pki.goog.

1.5.3. Person determining CPS suitability for the policy

The Google CA Policy Authority determines the suitability of CPSs published in response to this CP.

1.5.4. CP approval procedures

Approvals of this CP and any amendments thereof are made by the Policy Authority. Amendments SHALL be made by publishing a new version of this CP at <http://pki.goog/>. In the event Google decides to make significant changes to this CP, notification of such changes will be posted at <http://pki.goog/>.

A new version of the CP will become effective fifteen (15) days after such posting, and will supersede all previous versions and will be binding on all Participants in the Google PKI from that point forward.

Google will maintain and operate a repository of the CP and associated certificates and CRL's on the <http://pki.goog/> server.

1.6. Definitions and acronyms

See Appendix A.

1.6.1. Conventions

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in these Requirements SHALL be interpreted in accordance with RFC 2119.

2. PUBLICATION AND REPOSITORY RESPONSIBILITIES

The CA SHALL develop, implement, enforce, and annually update a Certification Practice Statement that describes in detail how the CA implements the latest version of these Requirements.

2.1. Repositories

The CA SHALL make revocation information for Subordinate Certificates and Subscriber Certificates available in accordance with this Policy.

2.2. Publication of certification information

The CA SHALL publicly disclose its Certificate Policy and/or Certification Practice Statement through an appropriate and readily accessible online means that is available on a 24x7 basis. The CA SHALL publicly disclose its CA business practices to the extent required by the CA's selected audit scheme (see Section 8.1).

The Certificate Policy and Certification Practice Statement is structured in accordance with RFC 3647 and includes all material required by RFC 3647.

Section 4.2 of a CA's Certificate Policy and/or Certification Practice Statement SHALL state the CA's policy or practice on processing CAA Records for Fully Qualified Domain Names; that policy shall be consistent with this CP. It shall clearly specify the set of Issuer Domain Names that the CA recognises in CAA "issue" or "issuwild" records as permitting it to issue. The CA SHALL log all actions taken, if any, consistent with its processing practice.

The CA SHALL publicly give effect to the CAB/Forum's Baseline Requirements for the Issuance and Management of Publicly Trusted Certificates and represent that it will adhere to the latest published version. The CA MAY fulfill this requirement by incorporating these Requirements directly into its Certificate Policy and/or Certification Practice Statements or by incorporating them by reference.

The CA SHALL host test Web pages that allow Application Software Suppliers to test their software with Subscriber Certificates that chain up to each publicly trusted Root Certificate. At a minimum, the CA SHALL host separate Web pages using Subscriber Certificates that are (i) valid, (ii) revoked, and (iii) expired.

2.3. Time or frequency of publication

The CA SHALL develop, implement, enforce, and annually update a Certification Practice Statement that describes in detail how the CA implements the latest version of these Requirements.

2.4. Access controls on repositories

The CA shall make its Repository publicly available in a read-only manner.

3. IDENTIFICATION AND AUTHENTICATION

3.1. Naming

3.1.1. Types of names

No stipulation.

3.1.2. Need for names to be meaningful

No stipulation.

3.1.3. Anonymity or pseudonymity of subscribers

No stipulation.

3.1.4. Rules for interpreting various name forms

No stipulation.

3.1.5. Uniqueness of names

No stipulation.

3.1.6. Recognition, authentication, and role of trademarks

No stipulation.

3.2. Initial identity validation

3.2.1. Method to prove possession of private key

No stipulation.

3.2.2. Authentication of organization identity

If the Applicant requests a Certificate that will contain Subject Identity Information comprised only of the countryName field, then the CA SHALL verify the country associated with the Subject using a verification process meeting the requirements of Section 3.2.2.3 and that is described in the CA's Certificate Policy and/or Certification Practice Statement.

If the Applicant requests a Certificate that will contain the countryName field and other Subject Identity Information, then the CA SHALL verify the identity of the Applicant, and the authenticity of the Applicant Representative's certificate request using a verification process meeting the requirements of this Section 3.2.2.1 and that is described in the CA's Certificate Policy and/or Certification Practice Statement. The CA SHALL inspect any document relied upon under this Section for alteration or falsification.

3.2.2.1. Identity

If the Subject Identity Information is to include the name or address of an organization, the CA SHALL verify the identity and address of the organization and that the address is the Applicant's address of existence or operation. The CA SHALL verify the identity and address of the Applicant using documentation provided by, or through communication with, at least one of the following:

1. A Government agency in the jurisdiction of the Applicant's legal creation, existence, or recognition Jurisdiction of Incorporation or Jurisdiction of Registration;
2. A third party database that is periodically updated and considered a Reliable Data Source;
3. A site visit by the CA or a third party who is acting as an agent for the CA; or
4. An Attestation Letter.

The CA may use the same documentation or communication described in 1 through 4 above to verify both the Applicant's identity and address.

Alternatively, the CA may verify the address of the Applicant (but not the identity of the Applicant) using a utility bill, bank statement, credit card statement, government-issued tax document, or other form of identification that the CA determines to be reliable.

3.2.2.2. DBA/Tradename

If the Subject Identity Information is to include a DBA or tradename, the CA SHALL verify the Applicant's right to use the DBA/tradename using at least one of the following:

1. Documentation provided by, or communication with, a government agency in the jurisdiction of the Applicant's legal creation, existence, or recognition;
2. A Reliable Data Source;
3. Communication with a government agency responsible for the management of such DBAs or tradenames;
4. An Attestation Letter accompanied by documentary support; or
5. A utility bill, bank statement, credit card statement, government-issued tax document, or other form of identification that the CA determines to be reliable.

3.2.2.3. Verification of Country

If the subject:countryName field is present, then the CA SHALL verify the country associated with the Subject using one of the following: (a) the IP Address range assignment by country for either (i) the web site's IP address, as indicated by the DNS record for the web site or (ii) the Applicant's IP address; (b) the ccTLD of the requested Domain Name; (c) information provided by the Domain Name Registrar; or (d) a method identified in Section 3.2.2.1. The CA SHOULD implement a process to screen proxy servers in order to prevent reliance upon IP addresses assigned in countries other than where the Applicant is actually located.

3.2.2.4 Validation of Domain Authorization or Control

This section defines the permitted processes and procedures for validating the Applicant's ownership or control of the domain.

The CA SHALL confirm that prior to issuance, the CA has validated each Fully-Qualified Domain Name (FQDN) listed in the Certificate using at least one of the methods listed below.

CAs may not issue certificates for FQDNs that contain “onion” as the rightmost label.

Completed validations of Applicant authority may be valid for the issuance of multiple Certificates over time. In all cases, the validation must have been initiated within the time period specified in the relevant requirement (such as Section 4.2.1 of this document) prior to Certificate issuance. For purposes of domain validation, the term Applicant includes the Applicant’s Parent Company, Subsidiary Company, or Affiliate.

CAs SHALL maintain a record of which domain validation method, including relevant BR version number, they used to validate every domain.

Note: FQDNs may be listed in Subscriber Certificates using dNSNames in the subjectAltName extension or in Subordinate CA Certificates via dNSNames in permittedSubtrees within the Name Constraints extension.

3.2.2.4.1 Validating the Applicant as a Domain Contact

This method has been retired and MUST NOT be used. Prior validations using this method and validation data gathered according to this method SHALL NOT be used to issue certificates

3.2.2.4.2 Email, Fax, SMS, or Postal Mail to Domain Contact

Confirming the Applicant’s control over the FQDN by sending a Random Value via email, fax, SMS, or postal mail and then receiving a confirming response utilizing the Random Value. The Random Value MUST be sent to an email address, fax/SMS number, or postal mail address identified as a Domain Contact.

Each email, fax, SMS, or postal mail MAY confirm control of multiple Authorization Domain Names.

The CA MAY send the email, fax, SMS, or postal mail identified under this section to more than one recipient provided that every recipient is identified by the Domain Name Registrar as representing the Domain Name Registrant for every FQDN being verified using the email, fax, SMS, or postal mail.

The Random Value SHALL be unique in each email, fax, SMS, or postal mail.

The CA MAY resend the email, fax, SMS, or postal mail in its entirety, including re-use of the Random Value, provided that the communication’s entire contents and recipient(s) remain unchanged.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values, in which case the CA MUST follow its CPS.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.3 Phone Contact with Domain Contact

This method has been retired and MUST NOT be used. Prior validations using this method and validation data gathered according to this method SHALL NOT be used to issue certificates

3.2.2.4.4 Constructed Email to Domain Contact

Confirm the Applicant's control over the FQDN by

1. Sending an email to one or more addresses created by using 'admin', 'administrator', 'webmaster', 'hostmaster', or 'postmaster' as the local part, followed by the at-sign ("@"), followed by an Authorization Domain Name; and
2. including a Random Value in the email; and
3. receiving a confirming response utilizing the Random Value.

Each email MAY confirm control of multiple FQDNs, provided the Authorization Domain Name used in the email is an Authorization Domain Name for each FQDN being confirmed

The Random Value SHALL be unique in each email.

The email MAY be re-sent in its entirety, including the re-use of the Random Value, provided that its entire contents and recipient SHALL remain unchanged.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.5 Domain Authorization Document

This method has been retired and MUST NOT be used. Prior validations using this method and validation data gathered according to this method SHALL NOT be used to issue certificates.

3.2.2.4.6 Agreed-Upon Change to Website

CAs MUST NOT perform validation using this method after 2020-06-03. CAs MAY continue to re-use information and validations for domains validated under this method per the applicable certificate data reuse periods.

3.2.2.4.7 DNS Change

Confirming the Applicant's control over the FQDN by confirming the presence of a Random Value or Request Token for either in a DNS CNAME, TXT or CAA record for either 1) an Authorization Domain Name; or 2) an Authorization Domain Name that is prefixed with a label that begins with an underscore character.

If a Random Value is used, the CA SHALL provide a Random Value unique to the Certificate request and SHALL not use the Random Value after (i) 30 days or (ii) if the Applicant submitted the Certificate request, the timeframe permitted for reuse of validated information relevant to the Certificate (such as in Section 3.3.1 of these Guidelines or Section 11.14.3 of the EV Guidelines).

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.8 IP Address

Confirming the Applicant's control over the FQDN by confirming that the Applicant controls an IP address returned from a DNS lookup for A or AAAA records for the FQDN in accordance with section 3.2.2.5.

Note: Once the FQDN has been validated using this method, the CA MAY NOT also issue Certificates for other FQDNs that end with all the labels of the validated FQDN unless the CA performs a separate validation for that FQDN using an authorized method. This method is NOT suitable for validating Wildcard Domain Names.

3.2.2.4.9 Test Certificate

This method has been retired and MUST NOT be used. Prior validations using this method and validation data gathered according to this method SHALL NOT be used to issue certificates

3.2.2.4.10 TLS Using a Random Number

Confirming the Applicant's control over the FQDN by confirming the presence of a Random Value within a Certificate on the Authorization Domain Name which is accessible by the CA via TLS over an Authorized Port.

3.2.2.4.11 Any Other Method

This method has been retired and MUST NOT be used.

3.2.2.4.12 Validating Applicant as a Domain Contact

Confirming the Applicant's control over the FQDN by validating the Applicant is the Domain Contact. This method may only be used if the CA is also the Domain Name Registrar, or an Affiliate of the Registrar, of the Base Domain Name.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.13 Email to DNS CAA Contact

Confirming the Applicant's control over the FQDN by sending a Random Value via email and then receiving a confirming response utilizing the Random Value. The Random Value MUST be sent to a DNS CAA Email Contact. The relevant CAA Resource Record Set MUST be found using the search algorithm defined in RFC 6844 Section 4, as amended by Errata 5065 (Appendix A to the BR).

Each email MAY confirm control of multiple FQDNs, provided that each email address is a DNS CAA Email Contact for each Authorization Domain Name being validated. The same email

MAY be sent to multiple recipients as long as all recipients are DNS CAA Email Contacts for each Authorization Domain Name being validated. The Random Value SHALL be unique in each email. The email MAY be re-sent in its entirety, including the reuse of the Random Value, provided that its entire contents and recipient(s) SHALL remain unchanged.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.14 Email to DNS TXT Contact

Confirming the Applicant's control over the FQDN by sending a Random Value via email and then receiving a confirming response utilizing the Random Value. The Random Value MUST be sent to a DNS TXT Record Email Contact for the Authorization Domain Name selected to validate the FQDN.

Each email MAY confirm control of multiple FQDNs, provided that each email address is DNS TXT Record Email Contact for each Authorization Domain Name being validated. The same email MAY be sent to multiple recipients as long as all recipients are DNS TXT Record Email Contacts for each Authorization Domain Name being validated. The Random Value SHALL be unique in each email. The email MAY be re-sent in its entirety, including the reuse of the Random Value, provided that its entire contents and recipient(s) SHALL remain unchanged.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.15 Phone Contact with Domain Contact

Confirm the Applicant's control over the FQDN by calling the Domain Contact's phone number and obtain a confirming response to validate the ADN. Each phone call MAY confirm control of multiple ADNs provided that the same Domain Contact phone number is listed for each ADN being verified and they provide a confirming response for each ADN.

In the event that someone other than a Domain Contact is reached, the CA MAY request to be transferred to the Domain Contact.

In the event of reaching voicemail, the CA may leave the Random Value and the ADN(s) being validated. The Random Value MUST be returned to the CA to approve the request.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.16 Phone Contact with DNS TXT Record Phone Contact

Confirm the Applicant's control over the FQDN by calling the DNS TXT Record Phone Contact's phone number and obtain a confirming response to validate the ADN. Each phone call MAY confirm control of multiple ADNs provided that the same DNS TXT Record Phone Contact phone number is listed for each ADN being verified and they provide a confirming response for each ADN.

The CA MAY NOT knowingly be transferred or request to be transferred as this phone number has been specifically listed for the purposes of Domain Validation.

In the event of reaching voicemail, the CA may leave the Random Value and the ADN(s) being validated. The Random Value MUST be returned to the CA to approve the request.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.17 Phone Contact with DNS CAA Phone Contact

Confirm the Applicant's control over the FQDN by calling the DNS CAA Phone Contact's phone number and obtain a confirming response to validate the ADN. Each phone call MAY confirm control of multiple ADNs provided that the same DNS CAA Phone Contact phone number is listed for each ADN being verified and they provide a confirming response for each ADN. The relevant CAA Resource Record Set MUST be found using the search algorithm defined in RFC 6844 Section 4, as amended by Errata 5065 (Appendix A).

The CA MUST NOT be transferred or request to be transferred as this phone number has been specifically listed for the purposes of Domain Validation.

In the event of reaching voicemail, the CA may leave the Random Value and the ADN(s) being validated. The Random Value MUST be returned to the CA to approve the request.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.18 Agreed-Upon Change to Website v2

Confirming the Applicant's control over the FQDN by verifying that the Request Token or Random Value is contained in the contents of a file.

1. The entire Request Token or Random Value MUST NOT appear in the request used to retrieve the file, and
2. the CA MUST receive a successful HTTP response from the request (meaning a 2xx HTTP status code must be received).

The file containing the Request Token or Random Number:

1. MUST be located on the Authorization Domain Name, and
2. MUST be located under the “/.well-known/pki-validation” directory, and
3. MUST be retrieved via either the “http” or “https” scheme, and
4. MUST be accessed over an Authorized Port.

If the CA follows redirects the following apply:

1. Redirects MUST be initiated at the HTTP protocol layer (e.g. using a 3xx status code).
2. Redirects MUST be the result of an HTTP status code result within the 3xx Redirection class of status codes, as defined in RFC 7231, Section 6.4.
3. Redirects MUST be to resource URLs with either via the “http” or “https” scheme.
4. Redirects MUST be to resource URLs accessed via Authorized Ports.

If a Random Value is used, then:

1. The CA MUST provide a Random Value unique to the certificate request.
2. The Random Value MUST remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values, in which case the CA MUST follow its CPS.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.4.19 Agreed-Upon Change to Website - ACME

Confirming the Applicant’s control over a FQDN by validating domain control of the FQDN using the ACME HTTP Challenge method defined in section 8.3 of RFC 8555. The following are additive requirements to RFC 8555.

The CA MUST receive a successful HTTP response from the request (meaning a 2xx HTTP status code must be received).

The token (as defined in RFC 8555, section 8.3) MUST NOT be used for more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values, in which case the CA MUST follow its CPS.

If the CA follows redirects:

1. Redirects MUST be initiated at the HTTP protocol layer (e.g. using a 3xx status code).
2. Redirects MUST be the result of an HTTP status code result within the 3xx Redirection class of status codes, as defined in RFC 7231, Section 6.4.
3. Redirects MUST be to resource URLs with either via the “http” or “https” scheme.
4. Redirects MUST be to resource URLs accessed via Authorized Ports.

Note: Once the FQDN has been validated using this method, the CA MAY also issue Certificates for other FQDNs that end with all the labels of the validated FQDN. This method is suitable for validating Wildcard Domain Names.

3.2.2.5. Authentication for an IP Address

This section defines the permitted processes and procedures for validating the Applicant's ownership or control of an IP Address listed in a Certificate.

The CA SHALL confirm that prior to issuance, the CA has validated each IP Address listed in the Certificate using at least one of the methods specified in this section.

Completed validations of Applicant authority may be valid for the issuance of multiple Certificates over time. In all cases, the validation must have been initiated within the time period specified in the relevant requirement (such as Section 4.2.1 of this document) prior to Certificate issuance. For purposes of IP Address validation, the term Applicant includes the Applicant's Parent Company, Subsidiary Company, or Affiliate.

After July 31, 2019, CAs SHALL maintain a record of which IP validation method, including the relevant BR version number, was used to validate every IP Address.

Note: IP Addresses verified in accordance with this section 3.2.5 may be listed in Subscriber Certificates as defined in section 7.1.4.2 or in Subordinate CA Certificates via `iPAddress` in permittedSubtrees within the Name Constraints extension. CAs are not required to verify IP Addresses listed in Subordinate CA Certificates via `iPAddress` in excludedSubtrees in the Name Constraints extension prior to inclusion in the Subordinate CA Certificate.

3.2.2.5.1. Agreed-Upon Change to Website

Confirming the Applicant's control over the requested IP Address by confirming the presence of a Request Token or Random Value contained in the content of a file or webpage in the form of a meta tag under the `"/.well-known/pki-validation"` directory, or another path registered with IANA for the purpose of validating control of IP Addresses, on the IP Address that is accessible by the CA via HTTP/HTTPS over an Authorized Port. The Request Token or Random Value MUST NOT appear in the request.

If a Random Value is used, the CA SHALL provide a Random Value unique to the certificate request and SHALL not use the Random Value after the longer of (i) 30 days or (ii) if the Applicant submitted the certificate request, the timeframe permitted for reuse of validated information relevant to the certificate (such as in Section 4.2.1 of this document).

3.2.2.5.2. Email, Fax, SMS, or Postal Mail to IP Address Contact

Confirming the Applicant's control over the IP Address by sending a Random Value via email, fax, SMS, or postal mail and then receiving a confirming response utilizing the Random Value. The Random Value MUST be sent to an email address, fax/SMS number, or postal mail address identified as an IP Address Contact.

Each email, fax, SMS, or postal mail MAY confirm control of multiple IP Addresses.

The CA MAY send the email, fax, SMS, or postal mail identified under this section to more than one recipient provided that every recipient is identified by the IP Address Registration Authority as representing the IP Address Contact for every IP Address being verified using the email, fax, SMS, or postal mail.

The Random Value SHALL be unique in each email, fax, SMS, or postal mail.

The CA MAY resend the email, fax, SMS, or postal mail in its entirety, including re-use of the Random Value, provided that the communication's entire contents and recipient(s) remain unchanged.

The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values, in which case the CA MUST follow its CPS.

3.2.2.5.3. Reverse Address Lookup

Confirming the Applicant's control over the IP Address by obtaining a Domain Name associated with the IP Address through a reverse-IP lookup on the IP Address and then verifying control over the FQDN using a method permitted under BR Section 3.2.2.4.

3.2.2.5.4. Any Other Method

Using any other method of confirmation, including variations of the methods defined in BR Section 3.2.2.5, provided that the CA maintains documented evidence that the method of confirmation establishes that the Applicant has control over the IP Address to at least the same level of assurance as the methods previously described in version 1.6.2 of these Requirements.

CAs SHALL NOT perform validations using this method after July 31, 2019. Completed validations using this method SHALL NOT be re-used for certificate issuance after July 31, 2019. Any certificate issued prior to August 1, 2019 containing an IP Address that was validated using any method that was permitted under the prior version of this section 3.2.2.5 MAY continue to be used without revalidation until such certificate naturally expires.

3.2.2.5.5. Phone Contact with IP Address Contact

Confirming the Applicant's control over the IP Address by calling the IP Address Contact's phone number and obtaining a response confirming the Applicant's request for validation of the IP Address. The CA MUST place the call to a phone number identified by the IP Address Registration Authority as the IP Address Contact. Each phone call SHALL be made to a single number.

In the event that someone other than an IP Address Contact is reached, the CA MAY request to be transferred to the IP Address Contact.

In the event of reaching voicemail, the CA may leave the Random Value and the IP Address(es) being validated.

The Random Value MUST be returned to the CA to approve the request. The Random Value SHALL remain valid for use in a confirming response for no more than 30 days from its creation. The CPS MAY specify a shorter validity period for Random Values.

3.2.2.5.6 ACME "http-01" method for IP Addresses

Confirming the Applicant's control over the IP Address by performing the procedure documented for an "http-01" challenge in draft 04 of "ACME IP Identifier Validation Extension," available at <https://tools.ietf.org/html/draft-ietf-acme-ip-04#section-4>.

3.2.2.5.7 ACME “tls-alpn-01” method for IP Addresses

Confirming the Applicant’s control over the IP Address by performing the procedure documented for a “tlsalpn-01” challenge in draft 04 of “ACME IP Identifier Validation Extension,” available at <https://tools.ietf.org/html/draft-ietf-acme-ip-04#section-4>.

3.2.2.6. Wildcard Domain Validation

Before issuing a certificate with a wildcard character (*) in a CN or subjectAltName of type DNS-ID, the CA MUST establish and follow a documented procedure that determines if the wildcard character occurs in the first label position to the left of a “registry-controlled” label or “public suffix” (e.g. “*.com”, “*.co.uk”, see RFC 6454 Section 8.2 for further explanation).

If a wildcard would fall within the label immediately to the left of a registry-controlled or public suffix, CAs MUST refuse issuance unless the applicant proves its rightful control of the entire Domain Namespace. (e.g. CAs MUST NOT issue “*.co.uk” or “*.local”, but MAY issue “*.example.com” to Example Co.).

Determination of what is “registry-controlled” versus the registerable portion of a Country Code Top-Level Domain Namespace is not standardized at the time of writing and is not a property of the DNS itself. Current best practice is to consult a “public suffix list” such as the Public Suffix List (PSL), and to retrieve a fresh copy regularly.

If using the PSL, a CA SHOULD consult the “ICANN DOMAINS” section only, not the “PRIVATE DOMAINS” section. The PSL is updated regularly to contain new gTLDs delegated by ICANN, which are listed in the “ICANN DOMAINS” section. A CA is not prohibited from issuing a Wildcard Certificate to the Registrant of an entire gTLD, provided that control of the entire namespace is demonstrated in an appropriate way.

3.2.2.7. Data Source Accuracy

Prior to using any data source as a Reliable Data Source, the CA SHALL evaluate the source for its reliability, accuracy, and resistance to alteration or falsification. The CA SHOULD consider the following during its evaluation:

1. The age of the information provided,
2. The frequency of updates to the information source,
3. The data provider and purpose of the data collection,
4. The public accessibility of the data availability, and
5. The relative difficulty in falsifying or altering the data.

Databases maintained by the CA, its owner, or its affiliated companies do not qualify as a Reliable Data Source if the primary purpose of the database is to collect information for the purpose of fulfilling the validation requirements under Section 3.2.

3.2.2.8. CAA Records

As part of the issuance process, the CA MUST check for CAA records and follow the processing instructions found, for each dNSName in the subjectAltName extension of the certificate to be issued, as specified in RFC 6844 as amended by Errata 5065 (Appendix A to the BR). If the CA issues, they MUST do so within the TTL of the CAA record, or 8 hours, whichever is greater.

This stipulation does not prevent the CA from checking CAA records at any other time.

When processing CAA records, CAs MUST process the issue, issuewild, and iodef property tags as specified in RFC 6844, although they are not required to act on the contents of the iodef property tag. Additional property tags MAY be supported, but MUST NOT conflict with or supersede the mandatory property tags set out in this document. CAs MUST respect the critical flag and not issue a certificate if they encounter an unrecognized property tag with this flag set.

RFC 6844 requires that CAs “MUST NOT issue a certificate unless either (1) the certificate request is consistent with the applicable CAA Resource Record set or (2) an exception specified in the relevant Certificate Policy or Certification Practices Statement applies.” For issuances conforming to these Baseline Requirements, CAs MUST NOT rely on any exceptions specified in their CP or CPS unless they are one of the following:

- CAA checking is optional for certificates for which a Certificate Transparency pre-certificate was created and logged in at least two public logs, and for which CAA was checked.
- CAA checking is optional for certificates issued by a Technically Constrained Subordinate CA Certificate as set out in Baseline Requirements section 7.1.5, where the lack of CAA checking is an explicit contractual provision in the contract with the Applicant.
- CAA checking is optional if the CA or an Affiliate of the CA is the DNS Operator (as defined in RFC 7719) of the domain’s DNS.

CAs are permitted to treat a record lookup failure as permission to issue if:

- the failure is outside the CA’s infrastructure; and
- the lookup has been retried at least once; and
- the domain’s zone does not have a DNSSEC validation chain to the ICANN root.

CAs MUST document potential issuances that were prevented by a CAA record in sufficient detail to provide feedback to the CAB Forum on the circumstances, and SHOULD dispatch reports of such issuance requests to the contact(s) stipulated in the CAA iodef record(s), if present. CAs are not expected to support URL schemes in the iodef record other than mailto: or https:.

3.2.3. Authentication of individual identity

If an Applicant subject to this Section is a natural person, then the CA SHALL verify the Applicant’s name, Applicant’s address, and the authenticity of the certificate request.

The CA SHALL verify the Applicant’s name using a legible copy, which discernibly shows the Applicant’s face, of at least one currently valid government-issued photo ID (passport, drivers license, military ID, national ID, or equivalent document type). The CA SHALL inspect the copy for any indication of alteration or falsification.

The CA SHALL verify the Applicant’s address using a form of identification that the CA determines to be reliable, such as a government ID, utility bill, or bank or credit card statement. The CA may rely on the same government-issued ID that was used to verify the Applicant’s name.

The CA SHALL verify the certificate request with the Applicant using a Reliable Method of Communication.

3.2.4. Non-verified subscriber information

No stipulation.

3.2.5. Validation of authority

If the Applicant for a Certificate containing Subject Identity Information is an organization, the CA SHALL use a Reliable Method of Communication to verify the authenticity of the Applicant Representative's certificate request.

The CA may use the sources listed in section 3.2.2.1 to verify the Reliable Method of Communication. Provided that the CA uses a Reliable Method of Communication, the CA may establish the authenticity of the certificate request directly with the Applicant Representative or with an authoritative source within the Applicant's organization, such as the Applicant's main business offices, corporate offices, human resource offices, information technology offices, or other department that the CA deems appropriate.

In addition, the CA SHALL establish a process that allows an Applicant to specify the individuals who may request Certificates. If an Applicant specifies, in writing, the individuals who may request a Certificate, then the CA SHALL not accept any certificate requests that are outside this specification. The CA SHALL provide an Applicant with a list of its authorized certificate requesters upon the Applicant's verified written request.

3.2.6. Criteria for interoperation

The CA SHALL disclose all Cross Certificates that identify the CA as the Subject, provided that the CA arranged for or accepted the establishment of the trust relationship (i.e. the Cross Certificate at issue).

3.3. Identification and authentication for re-key requests

3.3.1. Identification and authentication for routine re-key

No stipulation.

3.3.2. Identification and authentication for re-key after revocation

No stipulation.

3.4. Identification and authentication for revocation request

No stipulation.

4. CERTIFICATE LIFE-CYCLE OPERATIONAL REQUIREMENTS

4.1. Certificate Application

4.1.1. Who can submit a certificate application

In accordance with Section 5.5.2, the CA SHALL maintain an internal database of all previously revoked Certificates and previously rejected certificate requests due to suspected phishing or other fraudulent usage or concerns. The CA SHALL use this information to identify subsequent suspicious certificate requests.

4.1.2. Enrollment process and responsibilities

Prior to the issuance of a Certificate, the CA SHALL obtain the following documentation from the Applicant:

1. A certificate request, which may be electronic; and
2. An executed Subscriber Agreement or Terms of Use, which may be electronic.

The CA SHOULD obtain any additional documentation the CA determines necessary to meet these Requirements.

Prior to the issuance of a Certificate, the CA SHALL obtain from the Applicant a certificate request in a form prescribed by the CA and that complies with these Requirements. One certificate request MAY suffice for multiple Certificates to be issued to the same Applicant, subject to the aging and updating requirement in Section 4.2.1, provided that each Certificate is supported by a valid, current certificate request signed by the appropriate Applicant Representative on behalf of the Applicant. The certificate request MAY be made, submitted and/or signed electronically.

The certificate request MUST contain a request from, or on behalf of, the Applicant for the issuance of a Certificate, and a certification by, or on behalf of, the Applicant that all of the information contained therein is correct.

4.2. Certificate application processing

4.2.1. Performing identification and authentication functions

The certificate request MAY include all factual information about the Applicant to be included in the Certificate, and such additional information as is necessary for the CA to obtain from the Applicant in order to comply with this Policy and/or the CA's Certification Practice Statement. In cases where the certificate request does not contain all the necessary information about the Applicant, the CA SHALL obtain the remaining information from the Applicant or, having obtained it from a reliable, independent, third-party data source, confirm it with the Applicant. The CA SHALL establish and follow a documented procedure for verifying all data requested for inclusion in the Certificate by the Applicant.

Applicant information MUST include, but not be limited to, at least one Fully-Qualified Domain Name or IP address to be included in the Certificate's SubjectAltName extension.

Section 6.3.2 limits the validity period of Subscriber Certificates. The CA MAY use the documents and data provided in Section 3.2 to verify certificate information, or may reuse previous validations themselves, provided that the CA obtained the data or document from a source specified under Section 3.2 or completed the validation itself no more than 825 days prior to issuing the Certificate.

In no case may a prior validation be reused if any data or document used in the prior validation was obtained more than the maximum time permitted for reuse of the data or document prior to issuing the Certificate.

After the change to any validation method specified in the Baseline Requirements or EV Guidelines, a CA may continue to reuse validation data or documents collected prior to the change, or the validation itself, for the period stated in this Section 4.2.1 unless otherwise specifically provided in a ballot.

The CA SHALL develop, maintain, and implement documented procedures that identify and require additional verification activity for High Risk Certificate Requests prior to the Certificate's approval, as reasonably necessary to ensure that such requests are properly verified under these Requirements.

If a Delegated Third Party fulfills any of the CA's obligations under this section, the CA SHALL verify that the process used by the Delegated Third Party to identify and further verify High Risk Certificate Requests provides at least the same level of assurance as the CA's own processes.

4.2.2. Approval or rejection of certificate applications

CAs SHALL NOT issue certificates containing Internal Names (see section 7.1.4.2.1).

4.2.3. Time to process certificate applications

No stipulation.

4.3. Certificate issuance

4.3.1. CA actions during certificate issuance

Certificate issuance by the Root CA SHALL require an individual authorized by the CA (i.e. the CA system operator, system officer, or PKI administrator) to deliberately issue a direct command in order for the Root CA to perform a certificate signing operation.

4.3.2. Notification to subscriber by the CA of issuance of certificate

No stipulation.

4.4. Certificate acceptance

4.4.1. Conduct constituting certificate acceptance

No stipulation.

4.4.2. Publication of the certificate by the CA

No stipulation.

4.4.3. Notification of certificate issuance by the CA to other entities

No stipulation.

4.5. Key pair and certificate usage

4.5.1. Subscriber private key and certificate usage

See Section 9.6.3, provisions 2. and 4.

4.5.2. Relying party public key and certificate usage

No stipulation.

4.6. Certificate renewal

4.6.1. Circumstance for certificate renewal

No stipulation.

4.6.2. Who may request renewal

No stipulation.

4.6.3. Processing certificate renewal requests

No stipulation.

4.6.4. Notification of new certificate issuance to subscriber

No stipulation.

4.6.5. Conduct constituting acceptance of a renewal certificate

No stipulation.

4.6.6. Publication of the renewal certificate by the CA

No stipulation.

4.6.7. Notification of certificate issuance by the CA to other entities

No stipulation.

4.7. Certificate re-key

4.7.1. Circumstance for certificate re-key

No stipulation.

4.7.2. Who may request certification of a new public key

No stipulation.

4.7.3. Processing certificate re-keying requests

4.7.4. Notification of new certificate issuance to subscriber

No stipulation.

4.7.5. Conduct constituting acceptance of a re-keyed certificate

No stipulation.

4.7.6. Publication of the re-keyed certificate by the CA

No stipulation.

4.7.7. Notification of certificate issuance by the CA to other entities

No stipulation.

4.8. Certificate modification

4.8.1. Circumstance for certificate modification

No stipulation.

4.8.2. Who may request certificate modification

No stipulation.

4.8.3. Processing certificate modification requests

No stipulation.

4.8.4. Notification of new certificate issuance to subscriber

No stipulation.

4.8.5. Conduct constituting acceptance of modified certificate

No stipulation.

4.8.6. Publication of the modified certificate by the CA

No stipulation.

4.8.7. Notification of certificate issuance by the CA to other entities

No stipulation.

4.9. Certificate revocation and suspension

4.9.1. Circumstances for revocation

4.9.1.1. Reasons for Revoking a Subscriber Certificate

The CA SHALL revoke a Certificate within 24 hours if one or more of the following occurs:

1. The Subscriber requests in writing that the CA revoke the Certificate;
2. The Subscriber notifies the CA that the original certificate request was not authorized and does not retroactively grant authorization;
3. The CA obtains evidence that the Subscriber's Private Key corresponding to the Public Key in the Certificate suffered a Key Compromise; or
4. The CA obtains evidence that the validation of domain authorization or control for any Fully-Qualified Domain Name or IP address in the Certificate should not be relied upon.

The CA SHOULD revoke a certificate within 24 hours and MUST revoke a Certificate within 5 days if one or more of the following occurs:

1. The Certificate no longer complies with the requirements of Sections 6.1.5 and 6.1.6;
2. The CA obtains evidence that the Certificate was misused;
3. The CA is made aware that a Subscriber has violated one or more of its material obligations under the Subscriber Agreement or Terms of Use;
4. The CA is made aware of any circumstance indicating that use of a Fully-Qualified Domain Name or IP address in the Certificate is no longer legally permitted (e.g. a court or arbitrator has revoked a Domain Name Registrant's right to use the Domain Name, a relevant licensing or services agreement between the Domain Name Registrant and the Applicant has terminated, or the Domain Name Registrant has failed to renew the Domain Name);
5. The CA is made aware that a Wildcard Certificate has been used to authenticate a fraudulently misleading subordinate Fully-Qualified Domain Name;
6. The CA is made aware of a material change in the information contained in the Certificate;
7. The CA is made aware that the Certificate was not issued in accordance with these Requirements or the CA's Certificate Policy or Certification Practice Statement;
8. The CA determines or is made aware that any of the information appearing in the Certificate is inaccurate;
9. The CA's right to issue Certificates under these Requirements expires or is revoked or terminated, unless the CA has made arrangements to continue maintaining the CRL/OCSP Repository;
10. Revocation is required by the CA's Certificate Policy and/or Certification Practice Statement; or
11. The CA is made aware of a demonstrated or proven method that exposes the Subscriber's Private Key to compromise, methods have been developed that can easily calculate it based

on the Public Key (such as a Debian weak key, see <http://wiki.debian.org/SSLkeys>), or if there is clear evidence that the specific method used to generate the Private Key was flawed.

4.9.1.2. Reasons for Revoking a Subordinate CA Certificate

The Issuing CA SHALL revoke a Subordinate CA Certificate within seven (7) days if one or more of the following occurs:

1. The Subordinate CA requests revocation in writing;
2. The Subordinate CA notifies the Issuing CA that the original certificate request was not authorized and does not retroactively grant authorization;
3. The Issuing CA obtains evidence that the Subordinate CA's Private Key corresponding to the Public Key in the Certificate suffered a Key Compromise or no longer complies with the requirements of Sections 6.1.5 and 6.1.6;
4. The Issuing CA obtains evidence that the Certificate was misused;
5. The Issuing CA is made aware that the Certificate was not issued in accordance with or that Subordinate CA has not complied with this document or the applicable Certificate Policy or Certification Practice Statement;
6. The Issuing CA determines that any of the information appearing in the Certificate is inaccurate or misleading;
7. The Issuing CA or Subordinate CA ceases operations for any reason and has not made arrangements for another CA to provide revocation support for the Certificate;
8. The Issuing CA's or Subordinate CA's right to issue Certificates under these Requirements expires or is revoked or terminated, unless the Issuing CA has made arrangements to continue maintaining the CRL/OCSP Repository; or
9. Revocation is required by the Issuing CA's Certificate Policy and/or Certification Practice Statement.

4.9.2. Who can request revocation

The Subscriber, RA, or Issuing CA can initiate revocation. Additionally, Subscribers, Relying Parties, Application Software Suppliers, and other third parties may submit Certificate Problem Reports informing the issuing CA of reasonable cause to revoke the certificate.

4.9.3. Procedure for revocation request

The CA SHALL provide a process for Subscribers to request revocation of their own Certificates. The process MUST be described in the CA's Certificate Policy or Certification Practice Statement.

The CA SHALL maintain a continuous 24x7 ability to accept and respond to revocation requests and Certificate Problem Reports.

The CA SHALL provide Subscribers, Relying Parties, Application Software Suppliers, and other third parties with clear instructions for reporting suspected Private Key Compromise, Certificate misuse, or other types of fraud, compromise, misuse, inappropriate conduct, or any other matter related to Certificates. The CA SHALL publicly disclose the instructions through a readily accessible online means and in section 1.5.2 of their CPS.

4.9.4. Revocation request grace period

No stipulation.

4.9.5. Time within which CA MUST process the revocation request

Within 24 hours after receiving a Certificate Problem Report, the CA SHALL investigate the facts and circumstances related to a Certificate Problem Report and provide a preliminary report on its findings to both the Subscriber and the entity who filed the Certificate Problem Report.

After reviewing the facts and circumstances, the CA SHALL work with the Subscriber and any entity reporting the Certificate Problem Report or other revocation-related notice to establish whether or not the certificate will be revoked, and if so, a date which the CA will revoke the certificate.

The period from receipt of the Certificate Problem Report or revocation-related notice to published revocation MUST NOT exceed the time frame set forth in Section 4.9.1.1. The date selected by the CA SHOULD consider the following criteria:

1. The nature of the alleged problem (scope, context, severity, magnitude, risk of harm);
2. The consequences of revocation (direct and collateral impacts to Subscribers and Relying Parties);
3. The number of Certificate Problem Reports received about a particular Certificate or Subscriber;
4. The entity making the complaint (for example, a complaint from a law enforcement official that a Web site is engaged in illegal activities should carry more weight than a complaint from a consumer alleging that they didn't receive the goods they ordered); and
5. Relevant legislation.

4.9.6. Revocation checking requirement for relying parties

No stipulation.

Note: Following certificate issuance, a certificate may be revoked for any reason stated in Section 4.9.1. Therefore, relying parties should check the revocation status of all certificates that contain a CDP or OCSP pointer.

4.9.7. CRL issuance frequency (if applicable)

For the status of Subscriber Certificates:

If the CA publishes a CRL, then the CA SHALL update and reissue CRLs at least once every seven days, and the value of the nextUpdate field MUST NOT be more than ten days beyond the value of the thisUpdate field.

For the status of Subordinate CA Certificates:

The CA SHALL update and reissue CRLs at least (i) once every twelve months and (ii) within 24 hours after revoking a Subordinate CA Certificate, and the value of the nextUpdate field MUST NOT be more than twelve months beyond the value of the thisUpdate field.

4.9.8. Maximum latency for CRLs (if applicable)

No stipulation.

4.9.9. On-line revocation/status checking availability

OCSP responses MUST conform to RFC6960 and/or RFC5019. OCSP responses MUST either:

1. Be signed by the CA that issued the Certificates whose revocation status is being checked, or
2. Be signed by an OCSP Responder whose Certificate is signed by the CA that issued the Certificate whose revocation status is being checked.

In the latter case, the OCSP signing Certificate MUST contain an extension of type `id-pkix-ocsp-nocheck`, as defined by RFC6960.

4.9.10. On-line revocation checking requirements

OCSP responders operated by the CA SHALL support the HTTP GET method, as described in RFC 6960 and/or RFC 5019.

For the status of Subscriber Certificates:

- The CA SHALL update information provided via an Online Certificate Status Protocol at least every four days. OCSP responses from this service MUST have a maximum expiration time of ten days.

For the status of Subordinate CA Certificates:

- The CA SHALL update information provided via an Online Certificate Status Protocol (i) at least every twelve months; and (ii) within 24 hours after revoking a Subordinate CA Certificate.

If the OCSP responder receives a request for the status of a certificate serial number that is “unused”, then the responder SHOULD NOT respond with a “good” status. If the OCSP responder is for a CA that is not Technically Constrained in line with Section 7.1.5, the responder MUST NOT respond with a “good” status for such requests.

The CA SHOULD monitor the OCSP responder for requests for “unused” serial numbers as part of its security response procedures.

The OCSP responder MAY provide definitive responses about “reserved” certificate serial numbers, as if there was a corresponding Certificate that matches the Precertificate [RFC6962].

A certificate serial number within an OCSP request is one of the following three options:

1. “assigned” if a Certificate with that serial number has been issued by the Issuing CA, using any current or previous key associated with that CA subject; or
2. “reserved” if a Precertificate [RFC6962] with that serial number has been issued by (a) the Issuing CA; or (b) a Precertificate Signing Certificate [RFC6962] associated with the Issuing CA; or
3. “unused” if neither of the previous conditions are met.

4.9.11. Other forms of revocation advertisements available

If the Subscriber Certificate is for a high-traffic FQDN, the CA may rely on stapling, in accordance with [RFC4366], to distribute its OCSP responses. In this case, the CA SHALL ensure that the Subscriber “staples” the OCSP response for the Certificate in its TLS handshake. The CA SHALL enforce this requirement on the Subscriber either contractually, through the Subscriber Agreement or Terms of Use, or by technical review measures implemented by the CA.

4.9.12. Special requirements related to key compromise

See Section 4.9.1.

4.9.13. Circumstances for suspension

The Repository MUST NOT include entries that indicate that a Certificate is suspended.

4.9.14. Who can request suspension

Not applicable.

4.9.15. Procedure for suspension request

Not applicable.

4.9.16. Limits on suspension period

Not applicable.

4.10. Certificate status services

4.10.1. Operational characteristics

Revocation entries on a CRL or OCSP Response MUST NOT be removed until after the Expiry Date of the revoked Certificate.

4.10.2. Service availability

The CA SHALL operate and maintain its CRL and OCSP capability with resources sufficient to provide a response time of ten seconds or less under normal operating conditions.

The CA SHALL maintain an online 24x7 Repository that application software can use to automatically check the current status of all unexpired Certificates issued by the CA.

The CA SHALL maintain a continuous 24x7 ability to respond internally to a high-priority Certificate Problem Report, and where appropriate, forward such a complaint to law enforcement authorities, and/or revoke a Certificate that is the subject of such a complaint.

4.10.3. Optional features

No stipulation.

4.11. End of subscription

No stipulation.

4.12. Key escrow and recovery

4.12.1. Key escrow and recovery policy and practices

No stipulation.

4.12.2. Session key encapsulation and recovery policy and practices

Not applicable.

5. MANAGEMENT, OPERATIONAL AND PHYSICAL CONTROLS

The CA SHALL develop, implement, and maintain a comprehensive security program designed to:

1. Protect the confidentiality, integrity, and availability of Certificate Data and Certificate Management Processes;
2. Protect against anticipated threats or hazards to the confidentiality, integrity, and availability of the Certificate Data and Certificate Management Processes;
3. Protect against unauthorized or unlawful access, use, disclosure, alteration, or destruction of any Certificate Data or Certificate Management Processes;
4. Protect against accidental loss or destruction of, or damage to, any Certificate Data or Certificate Management Processes; and
5. Comply with all other security requirements applicable to the CA by law.

The Certificate Management Process MUST include:

1. physical security and environmental controls;
2. system integrity controls, including configuration management, integrity maintenance of trusted code, and malware detection/prevention;
3. network security and firewall management, including port restrictions and IP address filtering;
4. user management, separate trusted-role assignments, education, awareness, and training; and
5. logical access controls, activity logging, and inactivity time-outs to provide individual accountability.

The CA's security program MUST include an annual Risk Assessment that:

1. Identifies foreseeable internal and external threats that could result in unauthorized access, disclosure, misuse, alteration, or destruction of any Certificate Data or Certificate Management Processes;
2. Assesses the likelihood and potential damage of these threats, taking into consideration the sensitivity of the Certificate Data and Certificate Management Processes; and
3. Assesses the sufficiency of the policies, procedures, information systems, technology, and other arrangements that the CA has in place to counter such threats.

Based on the Risk Assessment, the CA SHALL develop, implement, and maintain a security plan consisting of security procedures, measures, and products designed to achieve the objectives set forth above and to manage and control the risks identified during the Risk Assessment, commensurate with the sensitivity of the Certificate Data and Certificate Management Processes. The security plan MUST include administrative, organizational, technical, and physical safeguards appropriate to the sensitivity of the Certificate Data and Certificate Management Processes. The security plan MUST also take into account then-available technology and the cost of implementing the specific measures, and SHALL implement a reasonable level of security appropriate to the harm that might result from a breach of security and the nature of the data to be protected.

5.1. Physical controls

The CA infrastructure SHALL be located and operated from secure Google facilities. Detailed security procedures MUST be in place and followed that prohibit unauthorized access and entry into the areas of the facilities in which CA systems reside.

5.1.1. Site location and construction

No stipulation.

5.1.2. Physical access

The CA SHALL have in place appropriate physical security controls to restrict access to all hardware and software used for providing CA Services. Access to such hardware and software SHALL be limited to those personnel performing in a trusted role and two-person access SHALL be enforced.

5.1.3. Power and air conditioning

No stipulation.

5.1.4. Water exposures

No stipulation.

5.1.5. Fire prevention and protection

No stipulation.

5.1.6. Media storage

No stipulation.

5.1.7. Waste disposal

No stipulation.

5.1.8. Off-site backup

No stipulation.

5.2. Procedural controls

5.2.1. Trusted roles

No stipulation.

5.2.2. Number of persons required per task

The Private Key SHALL be backed up, stored, and recovered only by personnel in trusted roles using, at least, dual control in a physically secured environment.

5.2.3. Identification and authentication for each role

No stipulation.

5.2.4. Roles requiring separation of duties

No stipulation.

5.3. Personnel controls

5.3.1. Qualifications, experience, and clearance requirements

Prior to the engagement of any person in the Certificate Management Process, whether as an employee, agent, or an independent contractor of the CA, the CA SHALL verify the identity and trustworthiness of such person.

5.3.2. Background check procedures

No stipulation.

5.3.3. Training requirements

The CA SHALL provide all personnel performing information verification duties with skills-training that covers basic Public Key Infrastructure knowledge, authentication and vetting policies and procedures (including the CA's Certificate Policy and/or Certification Practice Statement), common threats to the information verification process (including phishing and other social engineering tactics), and these Requirements.

The CA SHALL maintain records of such training and ensure that personnel entrusted with Validation Specialist duties maintain a skill level that enables them to perform such duties satisfactorily.

The CA SHALL document that each Validation Specialist possesses the skills required by a task before allowing the Validation Specialist to perform that task.

The CA SHALL require all Validation Specialists to pass an examination provided by the CA on the information verification requirements outlined in these Requirements.

5.3.4. Retraining frequency and requirements

All personnel in Trusted roles SHALL maintain skill levels consistent with the CA's training and performance programs.

5.3.5. Job rotation frequency and sequence

No stipulation.

5.3.6. Sanctions for unauthorized actions

No stipulation.

5.3.7. Independent contractor requirements

The CA SHALL verify that the Delegated Third Party's personnel involved in the issuance of a Certificate meet the training and skills requirements of Section 5.3.3 and the document retention and event logging requirements of Section 5.4.1.

5.3.8. Documentation supplied to personnel

No stipulation.

5.4. Audit logging procedures

5.4.1. Types of events recorded

The CA and each Delegated Third Party SHALL record details of the actions taken to process a certificate request and to issue a Certificate, including all information generated and documentation received in connection with the certificate request; the time and date; and the personnel involved. The CA SHALL make these records available to its Qualified Auditor as proof of the CA's compliance with these Requirements.

The CA SHALL record at least the following events:

1. CA key lifecycle management events, including:
 1. Key generation, backup, storage, recovery, archival, and destruction; and
 2. Cryptographic device lifecycle management events.
2. CA and Subscriber Certificate lifecycle management events, including:
 1. Certificate requests, renewal, and re-key requests, and revocation;
 2. All verification activities stipulated in these Requirements and the CA's Certification Practice Statement;
 3. Date, time, phone number used, persons spoken to, and end results of verification telephone calls;
 4. Acceptance and rejection of certificate requests; Frequency of Processing Log
 5. Issuance of Certificates; and
 6. Generation of Certificate Revocation Lists and OCSP entries.
3. Security events, including:
 1. Successful and unsuccessful PKI system access attempts;
 2. PKI and security system actions performed;
 3. Security profile changes;
 4. System crashes, hardware failures, and other anomalies;
 5. Firewall and router activities; and
 6. Entries to and exits from the CA facility.

Log entries MUST include the following elements:

1. Date and time of entry;
2. Identity of the person making the journal entry; and
3. Description of the entry.

5.4.2. Frequency of processing log

No stipulation.

5.4.3. Retention period for audit log

The CA SHALL retain any audit logs generated for at least seven years. The CA SHALL make these audit logs available to its Qualified Auditor upon request.

5.4.4. Protection of audit log

No stipulation.

5.4.5. Audit log backup procedures

No stipulation.

5.4.6. Audit collection system (internal vs. external)

No stipulation.

5.4.7. Notification to event-causing subject

No stipulation.

5.4.8. Vulnerability assessments

Additionally, the CA's security program MUST include an annual Risk Assessment that:

1. Identifies foreseeable internal and external threats that could result in unauthorized access, disclosure, misuse, alteration, or destruction of any Certificate Data or Certificate Management Processes;
2. Assesses the likelihood and potential damage of these threats, taking into consideration the sensitivity of the Certificate Data and Certificate Management Processes; and
3. Assesses the sufficiency of the policies, procedures, information systems, technology, and other arrangements that the CA has in place to counter such threats.

5.5. Records archival

5.5.1. Types of records archived

No stipulation.

5.5.2. Retention period for archive

The CA SHALL retain all documentation relating to certificate requests and the verification thereof, and all Certificates and revocation thereof, for at least seven years after any Certificate based on that documentation ceases to be valid.

5.5.3. Protection of archive

No stipulation.

5.5.4. Archive backup procedures

No stipulation.

5.5.5. Requirements for time-stamping of records

No stipulation.

5.5.6. Archive collection system (internal or external)

No stipulation.

5.5.7. Procedures to obtain and verify archive information

No stipulation.

5.6. Key changeover

No stipulation.

5.7. Compromise and disaster recovery

5.7.1. Incident and compromise handling procedures

CA organizations shall have an Incident Response Plan and a Disaster Recovery Plan.

The CA SHALL document a business continuity and disaster recovery procedure designed to notify and reasonably protect Application Software Suppliers, Subscribers, and Relying Parties in the event of a disaster, security compromise, or business failure. The CA is not required to publicly disclose its business continuity plans but SHALL make its business continuity plan and security plans available to the CA's auditors upon request. The CA SHALL annually test, review, and update these procedures.

The business continuity plan MUST include:

1. The conditions for activating the plan,
2. Emergency procedures,
3. Fallback procedures,
4. Resumption procedures,
5. A maintenance schedule for the plan;
6. Awareness and education requirements;
7. The responsibilities of the individuals;
8. Recovery time objective;
9. Regular testing of contingency plans.
10. The CA's plan to maintain or restore the CA's business operations in a timely manner following interruption to or failure of critical business processes

11. A requirement to store critical cryptographic materials (i.e., secure cryptographic device and activation materials) at an alternate location;
12. What constitutes an acceptable system outage and recovery time
13. How frequently backup copies of essential business information and software are taken;
14. The distance of recovery facilities to the CA's main site; and
15. Procedures for securing its facility to the extent possible during the period of time following a disaster and prior to restoring a secure environment either at the original or a remote site.

5.7.2. Recovery procedures if computing resources, software, and/or data are corrupted

No stipulation.

5.7.3. Recovery procedures after key compromise

No stipulation.

5.7.4. Business continuity capabilities after a disaster

No stipulation.

5.8. CA or RA termination

No stipulation.

6. TECHNICAL SECURITY CONTROLS

6.1. Key pair generation and installation

6.1.1. Key pair generation

6.1.1.1. CA Key Pair Generation

For Root CA Key Pairs that are either (i) used as Root CA Key Pairs or (ii) Key Pairs generated for a subordinate CA that is not the operator of the Root CA or an Affiliate of the Root CA, the CA SHALL:

1. prepare and follow a Key Generation Script,
2. have a Qualified Auditor witness the CA Key Pair generation process or record a video of the entire CA Key Pair generation process, and
3. have a Qualified Auditor issue a report opining that the CA followed its key ceremony during its Key and Certificate generation process and the controls used to ensure the integrity and confidentiality of the Key Pair.

For other CA Key Pairs that are for the operator of the Root CA or an Affiliate of the Root CA, the CA SHOULD:

1. prepare and follow a Key Generation Script and
2. have a Qualified Auditor witness the CA Key Pair generation process or record a video of the entire CA Key Pair generation process.

In all cases, the CA SHALL:

1. generate the keys in a physically secured environment as described in the CA's Certification Practice Statement;
2. generate the CA keys using personnel in Trusted Roles under the principles of multiple person control and split knowledge;
3. generate the CA keys within cryptographic modules meeting the applicable technical and business requirements as disclosed in the CA's Certification Practice Statement;
4. log its CA key generation activities; and
5. maintain effective controls to provide reasonable assurance that the Private Key was generated and protected in conformance with the procedures described in its Certification Practice Statement and (if applicable) its Key Generation Script.

6.1.1.2. RA key pair generation

No stipulation.

6.1.1.3. Subscriber key pair generation

The CA SHALL reject a certificate request if the requested Public Key does not meet the requirements set forth in Sections 6.1.5 and 6.1.6 or if it has a known weak Private Key.

6.1.2. Private key delivery to subscriber

Parties other than the Subscriber SHALL NOT archive the Subscriber Private Key without authorization by the Subscriber. If the CA or any of its designated RAs generated the Private Key

on behalf of the Subscriber, then the CA SHALL encrypt the Private Key for transport to the Subscriber.

If the CA or any of its designated RAs become aware that a Subscriber's Private Key has been communicated to an unauthorized person or an organization not affiliated with the Subscriber, then the CA SHALL revoke all certificates that include the Public Key corresponding to the communicated Private Key.

6.1.3. Public key delivery to certificate issuer

No stipulation.

6.1.4. CA public key delivery to relying parties

No stipulation.

6.1.5. Algorithm Type and key sizes

Certificates MUST meet the following requirements for algorithm type and key size.

Root CA Certificates, Subordinate CA Certificates and Subscriber Certificates will follow the same requirements:

Type	Permissible values
Digest algorithm	SHA-256, SHA-384 or SHA-512
Minimum RSA modulus size (bits)	2048
ECC curve	NIST P-256, P-384, or P-521
Minimum DSA modulus and divisor size (bits)	L= 2048 N= 224 or L= 2048 N= 256

L and N (the bit lengths of modulus p and divisor q, respectively) are described in FIPS 186-4.

6.1.6. Public key parameters generation and quality checking

RSA: The CA SHALL confirm that the value of the public exponent is an odd number equal to 3 or more. Additionally, the public exponent SHOULD be in the range between $2^{16} + 1$ and $2^{256} - 1$. The modulus SHOULD also have the following characteristics: an odd number, not the power of a prime, and have no factors smaller than 752. [Source: Section 5.3.3, NIST SP 800-89]

DSA: Although FIPS 800-57 says that domain parameters may be made available at some accessible site, compliant DSA certificates MUST include all domain parameters. This is to insure maximum interoperability among relying party software. The CA MUST confirm that the value of the public key has the unique correct representation and range in the field, and that the key has the correct order in the subgroup. [Source: Section 5.3.1, NIST SP 800-89]

ECC: The CA SHOULD confirm the validity of all keys using either the ECC Full Public Key

Validation Routine or the ECC Partial Public Key Validation Routine. [Source: Sections 5.6.2.5 and 5.6.2.6, respectively, NIST SP 800-56A].

6.1.7. Key usage purposes (as per X.509 v3 key usage field)

Private Keys corresponding to Root Certificates MUST NOT be used to sign Certificates except in the following cases:

1. Self-signed Certificates to represent the Root CA itself;
2. Certificates for Subordinate CAs and Cross Certificates;
3. Certificates for infrastructure purposes (administrative role certificates, internal CA operational device certificates); and
4. Certificates for OCSP Response verification.

6.2. Private Key Protection and Cryptographic Module Engineering Controls

The CA SHALL implement physical and logical safeguards to prevent unauthorized certificate issuance. Protection of the Private Key outside the validated system or device specified above MUST consist of physical security, encryption, or a combination of both, implemented in a manner that prevents disclosure of the Private Key. The CA SHALL encrypt its Private Key with an algorithm and key-length that, according to the state of the art, are capable of withstanding cryptanalytic attacks for the residual life of the encrypted key or key part.

6.2.1. Cryptographic module standards and controls

No stipulation.

6.2.2. Private key (n out of m) multi-person control

No stipulation.

6.2.3. Private key escrow

No stipulation.

6.2.4. Private key backup

See Section 5.2.2.

6.2.5. Private key archival

Parties other than the Subordinate CA SHALL NOT archive the Subordinate CA Private Keys without authorization by the Subordinate CA.

6.2.6. Private key transfer into or from a cryptographic module

If the Issuing CA generated the Private Key on behalf of the Subordinate CA, then the Issuing CA SHALL encrypt the Private Key for transport to the Subordinate CA. If the Issuing CA becomes

aware that a Subordinate CA's Private Key has been communicated to an unauthorized person or an organization not affiliated with the Subordinate CA, then the Issuing CA SHALL revoke all certificates that include the Public Key corresponding to the communicated Private Key.

6.2.7. Private key storage on cryptographic module

The CA SHALL protect its Private Key in a system or device that has been validated as meeting at least FIPS 140 level 3 or an appropriate Common Criteria Protection Profile or Security Target, EAL 4 (or higher), which includes requirements to protect the Private Key and other assets against known threats.

6.2.8. Method of activating private key

No stipulation.

6.2.9. Method of deactivating private key

No stipulation.

6.2.10. Method of destroying private key

No stipulation.

6.2.11. Cryptographic Module Rating

No stipulation.

6.3. Other aspects of key pair management

6.3.1. Public key archival

No stipulation.

6.3.2. Certificate operational periods and key pair usage periods

Subscriber Certificates issued after March 1, 2018 MUST have a Validity Period no greater than 825 days. Subscriber Certificates issued after 1 July 2016 but prior to 1 March 2018 MUST have a Validity Period no greater than thirty-nine (39) months.

6.4. Activation data

6.4.1. Activation data generation and installation

No stipulation.

6.4.2. Activation data protection

No stipulation.

6.4.3. Other aspects of activation data

No stipulation.

6.5. Computer security controls

6.5.1. Specific computer security technical requirements

The CA SHALL enforce multi-factor authentication for all accounts capable of directly causing certificate issuance.

6.5.2. Computer security rating

No stipulation.

6.6. Life cycle technical controls

6.6.1. System development controls

No stipulation.

6.6.2. Security management controls

No stipulation.

6.6.3. Life cycle security controls

No stipulation.

6.7. Network security controls

No stipulation.

6.8. Time-stamping

No stipulation.

7. CERTIFICATE, CRL, AND OCSP PROFILES

7.1. CERTIFICATE PROFILE

The CA SHALL meet the technical requirements set forth in Section 2.2 – Publication of Information, Section 6.1.5 – Key Sizes, and Section 6.1.6 – Public Key Parameters Generation and Quality Checking.

CAs SHALL generate non-sequential Certificate serial numbers greater than zero (0) containing at least 64 bits of output from a CSPRNG.

7.1.1. Version Number(s)

Certificates MUST be of type X.509 v3.

7.1.2. Certificate Content and Extensions; Application of RFC 5280

This section specifies the additional requirements for Certificate content and extensions for Certificates.

7.1.2.1. Root CA Certificate

a. basicConstraints

This extension MUST appear as a critical extension. The cA field MUST be set true. The pathLenConstraint field SHOULD NOT be present.

b. keyUsage

This extension MUST be present and MUST be marked critical. Bit positions for keyCertSign and cRLSign MUST be set. If the Root CA Private Key is used for signing OCSP responses, then the digitalSignature bit MUST be set.

c. certificatePolicies

This extension SHOULD NOT be present.

d. extendedKeyUsage

This extension MUST NOT be present.

7.1.2.2. Subordinate CA Certificate

a. certificatePolicies

This extension MUST be present and SHOULD NOT be marked critical.

certificatePolicies:policyIdentifier (Required)

The following fields MAY be present if the Subordinate CA is not an Affiliate of the entity that controls the Root CA.

certificatePolicies:policyQualifiers:policyQualifierId (Optional) id-qt 1 [RFC 5280].

certificatePolicies:policyQualifiers:qualifier:cPSuri (Optional)

HTTP URL for the Root CA's Certificate Policies, Certification Practice Statement, Relying Party Agreement, or other pointer to online policy information provided by the CA.

b. `cRLDistributionPoints`

This extension **MUST** be present and **MUST NOT** be marked critical. It **MUST** contain the HTTP URL of the CA's CRL service.

c. `authorityInformationAccess`

With the exception of stapling, which is noted below, this extension **MUST** be present. It **MUST NOT** be marked critical, and it **MUST** contain the HTTP URL of the Issuing CA's OCSP responder (`accessMethod` = 1.3.6.1.5.5.7.48.1). It **SHOULD** also contain the HTTP URL of the Issuing CA's certificate (`accessMethod` = 1.3.6.1.5.5.7.48.2).

The HTTP URL of the Issuing CA's OCSP responder **MAY** be omitted, provided that the Subscriber "staples" the OCSP response for the Certificate in its TLS handshakes [RFC4366].

d. `basicConstraints`

This extension **MUST** be present and **MUST** be marked critical. The `cA` field **MUST** be set true. The `pathLenConstraint` field **MAY** be present.

e. `keyUsage`

This extension **MUST** be present and **MUST** be marked critical. Bit positions for `keyCertSign` and `cRLSign` **MUST** be set. If the Subordinate CA Private Key is used for signing OCSP responses, then the `digitalSignature` bit **MUST** be set.

f. `nameConstraints` (optional)

If present, this extension **SHOULD** be marked critical*.

- Non-critical Name Constraints are an exception to RFC 5280 (4.2.1.10), however, they **MAY** be used until the Name Constraints extension is supported by Application Software Suppliers whose software is used by a substantial portion of Relying Parties worldwide.

g. `extkeyUsage` (optional)

For Subordinate CA Certificates to be Technically constrained in line with section 7.1.5, then either the value `id-kp-serverAuth` [RFC5280] or `id-kp-clientAuth` [RFC5280] or both values **MUST** be present**.

Other values **MAY** be present.

If present, this extension **SHOULD** be marked non-critical.

** Generally Extended Key Usage will only appear within end entity certificates (as highlighted in RFC 5280 (4.2.1.12)), however, Subordinate CAs **MAY** include the extension to further protect relying parties until the use of the extension is consistent between Application Software Suppliers whose software is used by a substantial portion of Relying Parties worldwide.

7.1.2.3. Subscriber Certificate

a. `certificatePolicies`

This extension MUST be present and SHOULD NOT be marked critical.

certificatePolicies:policyIdentifier (Required)

A Policy Identifier, documented by the issuing CA in its Certificate Policy and/or Certification Practice Statement, that indicates a Certificate Policy asserting the issuing CA's adherence to and compliance with these Requirements.

The following extensions MAY be present: certificatePolicies:policyQualifiers:policyQualifierId (Recommended)

id-qt 1 [RFC 5280]. certificatePolicies:policyQualifiers:qualifier:cPSuri (Optional)

HTTP URL for the Subordinate CA's Certification Practice Statement, Relying Party Agreement or other pointer to online information provided by the CA.

b. cRLDistributionPoints

This extension MAY be present. If present, it MUST NOT be marked critical, and it MUST contain the HTTP URL of the CA's CRL service.

c. authorityInformationAccess

With the exception of stapling, which is noted below, this extension MUST be present. It MUST NOT be marked critical, and it MUST contain the HTTP URL of the Issuing CA's OCSP responder (accessMethod = 1.3.6.1.5.5.7.48.1). It SHOULD also contain the HTTP URL of the Issuing CA's certificate (accessMethod = 1.3.6.1.5.5.7.48.2). .

The HTTP URL of the Issuing CA's OCSP responder MAY be omitted provided that the Subscriber "staples" OCSP responses for the Certificate in its TLS handshakes [RFC4366].

d. basicConstraints (optional) The cA field MUST NOT be true.

e. keyUsage (optional)

If present, bit positions for keyCertSign and cRLSign MUST NOT be set.

f. extKeyUsage (required)

Either the value id-kp-serverAuth [RFC5280] or id-kp-clientAuth [RFC5280] or both values MUST be present. id-kp-emailProtection [RFC5280] MAY be present. Other values SHOULD NOT be present.

7.1.2.4. All Certificates

All other fields and extensions MUST be set in accordance with RFC 5280. The CA SHALL NOT issue a Certificate that contains a keyUsage flag, extendedKeyUsage value, Certificate extension, or other data not specified in Section 7.1.2.1, 7.1.2.2, or 7.1.2.3 unless the CA is aware of a reason for including the data in the Certificate.

CAs SHALL NOT issue a Certificate with:

- a) Extensions that do not apply in the context of the public Internet (such as an extendedKeyUsage value for a service that is only valid in the context of a privately managed network), unless: i. such value falls within an OID arc for which the Applicant demonstrates

ownership, or ii. the Applicant can otherwise demonstrate the right to assert the data in a public context; or

- b) semantics that, if included, will mislead a Relying Party about the certificate information verified by the CA (such as including extendedKeyUsage value for a smart card, where the CA is not able to verify that the corresponding Private Key is confined to such hardware due to remote issuance).

7.1.2.5. Application of RFC 5280

For purposes of clarification, a Precertificate, as described in RFC 6962 – Certificate Transparency, shall not be considered to be a “certificate” subject to the requirements of RFC 5280 - Internet X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL) Profile under these Baseline Requirements.

7.1.3. Algorithm Object Identifiers

CAs MUST NOT issue any Subscriber certificates or Subordinate CA certificates using the CAs MUST NOT issue any certificates using the SHA-1 hash algorithm.

CAs MAY continue to use their existing SHA-1 Root Certificates.

SHA-2 Subscriber certificates SHOULD NOT chain up to a SHA-1 Subordinate CA Certificate.

7.1.4. Name Forms

7.1.4.1. Issuer Information

The content of the Certificate Issuer Distinguished Name field MUST match the Subject DN of the Issuing CA to support Name chaining as specified in RFC 5280, Section 4.1.2.4.

7.1.4.2. Subject Information - Subscriber Certificates

By issuing the Certificate, the CA represents that it followed the procedure set forth in its Certificate Policy and/or Certification Practice Statement to verify that, as of the Certificate’s issuance date, all of the Subject Information was accurate. CAs SHALL NOT include a Domain Name or IP Address in a Subject attribute except as specified in Sections 3.2.2.4 or 3.2.2.5.

Subject attributes MUST NOT contain only metadata such as ‘, ‘-’, and ’ ’ (i.e. space) characters, and/or any other indication that the value is absent, incomplete, or not applicable.

7.1.4.2.1. Subject Alternative Name Extension

Certificate Field: extensions:subjectAltName

Required/Optional: Required

Contents: This extension MUST contain at least one entry. Each entry MUST be either a dNSName containing the Fully-Qualified Domain Name or an iPAddress containing the IP address of a server. The CA MUST confirm that the Applicant controls the Fully-Qualified Domain Name or IP address or has been granted the right to use it by the Domain Name Registrant or IP address assignee, as appropriate.

Wildcard FQDNs are permitted.

Entries in the `dNSName` MUST be in the “preferred name syntax”, as specified in RFC 5280, and thus MUST NOT contain underscore characters (“_”).

7.1.4.2.2. Subject Distinguished Name Fields

- a) Certificate Field: `subject:commonName` (OID 2.5.4.3)

Required/Optional: Deprecated (Discouraged, but not prohibited)

Contents: If present, this field MUST contain a single IP address or Fully-Qualified Domain Name that is one of the values contained in the Certificate’s `subjectAltName` extension (see Section 7.1.4.2.1).

- b) Certificate Field: `subject:organizationName` (OID 2.5.4.10) Optional.

Contents: If present, the `subject:organizationName` field MUST contain either the Subject’s name or DBA as verified under Section 3.2.2.2. The CA may include information in this field that differs slightly from the verified name, such as common variations or abbreviations, provided that the CA documents the difference and any abbreviations used are locally accepted abbreviations; e.g., if the official record shows “Company Name Incorporated”, the CA MAY use “Company Name Inc.” or “Company Name”. Because Subject name attributes for individuals (e.g. `givenName` (2.5.4.42) and `surname` (2.5.4.4)) are not broadly supported by application software, the CA MAY use the `subject:organizationName` field to convey a natural person Subject’s name or DBA.

- c) Certificate Field: `subject:givenName` (2.5.4.42) and `subject:surname` (2.5.4.4)

Optional.

Contents: If present, the `subject:givenName` field and `subject:surname` field MUST contain a natural person Subject’s name as verified under Section 3.2.3. A Certificate containing a `subject:givenName` field or `subject:surname` field MUST contain the (2.23.140.1.2.3) Certificate Policy OID.

- d) Certificate Field: Number and street: `subject:streetAddress` (OID: 2.5.4.9)

`subject:surname` field are present.

Prohibited if the `subject:organizationName` field, `subject:givenName`, and `subject:surname` field are absent.

Contents: If present, the `subject:streetAddress` field MUST contain the Subject’s street address information as verified under Section 3.2.2.1.

- e) Certificate Field: `subject:localityName` (OID: 2.5.4.7)

Required if the `subject:organizationName` field, `subject:givenName` field, or `subject:surname` field are present and the `subject:stateOrProvinceName` field is absent.

Optional if the `subject:stateOrProvinceName` field and the `subject:organizationName` field, `subject:givenName` field, or `subject:surname` field are present.

Prohibited if the `subject:organizationName` field, `subject:givenName`, and `subject:surname` field are absent.

Contents: If present, the subject:localityName field MUST contain the Subject's locality information as verified under Section 3.2.2.1. If the subject:countryName field specifies the ISO 3166-1 user-assigned code of XX in accordance with Section 7.1.4.2.2(g), the localityName field MAY contain the Subject's locality and/or state or province information as verified under Section 3.2.2.1.

f) Certificate Field: subject:stateOrProvinceName (OID: 2.5.4.8)

Required if the subject:organizationName field, subject:givenName field, or subject:surname field are present and subject:localityName field is absent.

Optional if the subject:localityName field and the subject:organizationName field, and subject:givenName field, or subject:surname field are present.

Prohibited if the subject:organizationName field, subject:givenName field, or subject:surname field are absent.

Contents: If present, the subject:stateOrProvinceName field MUST contain the Subject's state or province information as verified under Section 3.2.2.1. If the subject:countryName field specifies the ISO 3166-1 user-assigned code of XX in accordance with Section 7.1.4.2.2(g), the subject:stateOrProvinceName field MAY contain the full name of the Subject's country information as verified under Section 3.2.2.1.

g) Certificate Field: subject:postalCode (OID: 2.5.4.17)

Optional if the subject:organizationName, subject:givenName field, or subject:surname fields are present.

Prohibited if the subject:organizationName field, subject:givenName field, or subject:surname field are absent.

Contents: If present, the subject:postalCode field MUST contain the Subject's zip or postal information as verified under Section 3.2.2.1.

h) Certificate Field: subject:countryName (OID: 2.5.4.6)

Required if the subject:organizationName field, subject:givenName, or subject:surname field are present.

Optional if the subject:organizationName field, subject:givenName field, and subject:surname field are absent.

Contents: If the subject:organizationName field is present, the subject:countryName MUST contain the two-letter ISO 3166-1 country code associated with the location of the Subject verified under Section 3.2.2.1. If the subject:organizationName field is absent, the subject:countryName field MAY contain the two-letter ISO 3166-1 country code associated with the Subject as verified in accordance with Section 3.2.2.3. If a Country is not represented by an official ISO 3166-1 country code, the CA MAY specify the ISO 3166-1 user-assigned code of XX indicating that an official ISO 3166-1 alpha-2 code has not been assigned.

i) Certificate Field: subject:organizationalUnitName (OID: 2.5.4.11) Optional.

The CA SHALL implement a process that prevents an OU attribute from including a name, DBA, tradename, trademark, address, location, or other text that refers to a specific natural person or Legal Entity unless the CA has verified this information in accordance with Section 3.2

and the Certificate also contains subject:organizationName, , subject:givenName, subject:surname, subject:localityName, and subject:countryName attributes, also verified in accordance with Section 3.2.2.1.

j) Other Subject Attributes

Other attributes MAY be present within the subject field. If present, other attributes MUST contain information that has been verified by the CA.

7.1.4.3. Subject Information – Root Certificates and Subordinate CA Certificates

By issuing a Subordinate CA Certificate, the CA represents that it followed the procedure set forth in its Certificate Policy and/or Certification Practice Statement to verify that, as of the Certificate's issuance date, all of the Subject Information was accurate.

7.1.4.3.1. Subject Distinguished Name Fields

- a. Certificate Field: subject:commonName (OID 2.5.4.3)
Required/Optional: Required
Contents: This field MUST be present and the contents SHOULD be an identifier for the certificate such that the certificate's Name is unique across all certificates issued by the issuing certificate.
- b. Certificate Field: subject:organizationName (OID 2.5.4.10)
Required/Optional: Required
Contents: This field MUST be present and the contents MUST contain either the Subject CA's name or DBA as verified under Section 3.2.2.2. The CA may include information in this field that differs slightly from the verified name, such as common variations or abbreviations, provided that the CA documents the difference and any abbreviations used are locally accepted abbreviations; e.g., if the official record shows "Company Name Incorporated", the CA MAY use "Company Name Inc." or "Company Name".
- c. Certificate Field: subject:countryName (OID: 2.5.4.6)
Required/Optional: Required
Contents: This field MUST contain the two-letter ISO 3166-1 country code for the country in which the CA's place of business is located.

7.1.5. Name Constraints

For a Subordinate CA Certificate to be considered Technically Constrained, the certificate MUST include an Extended Key Usage (EKU) extension specifying all extended key usages that the Subordinate CA Certificate is authorized to issue certificates for. The anyExtendedKeyUsage KeyPurposeId MUST NOT appear within this extension.

If the Subordinate CA Certificate includes the id-kp-serverAuth extended key usage, then the Subordinate CA Certificate MUST include the Name Constraints X.509v3 extension with constraints on dNSName, iPAddress and DirectoryName as follows:

- (a) For each dNSName in permittedSubtrees, the CA MUST confirm that the Applicant has registered the dNSName or has been authorized by the domain registrant to act on the registrant's behalf in line with the verification practices of section 3.2.2.4.

- (b) For each `iAddress` range in `permittedSubtrees`, the CA MUST confirm that the Applicant has been assigned the `iAddress` range or has been authorized by the assigner to act on the assignee's behalf. (c) For each `DirectoryName` in `permittedSubtrees` the CA MUST confirm the Applicant's and/or Subsidiary's Organizational name and location such that end entity certificates issued from the subordinate CA Certificate will be in compliance with Section 7.1.2.4 and 7.1.2.5.

If the Subordinate CA Certificate is not allowed to issue certificates with an `iAddress`, then the Subordinate CA Certificate MUST specify the entire IPv4 and IPv6 address ranges in `excludedSubtrees`. The Subordinate CA Certificate MUST include within `excludedSubtrees` an `iAddress` `GeneralName` of 8 zero octets (covering the IPv4 address range of 0.0.0.0/0). The Subordinate CA Certificate MUST also include within `excludedSubtrees` an `iAddress` `GeneralName` of 32 zero octets (covering the IPv6 address range of ::0/0). Otherwise, the Subordinate CA Certificate MUST include at least one `iAddress` in `permittedSubtrees`.

A decoded example for issuance to the domain and sub domains of `example.com` by organization: Example LLC, Boston, Massachusetts, US would be:

X509v3 Name Constraints:

Permitted:

`DNS:example.com`

`DirName: C=US, ST=MA, L=Boston, O=Example LLC`

Excluded:

`IP:0.0.0.0/0.0.0.0`

`IP:0:0:0:0:0:0:0:0/0:0:0:0:0:0:0:0`

If the Subordinate CA is not allowed to issue certificates with `dNSNames`, then the Subordinate CA Certificate MUST include a zero-length `dNSName` in `excludedSubtrees`. Otherwise, the Subordinate CA Certificate MUST include at least one `dNSName` in `permittedSubtrees`.

7.1.6. Certificate Policy Object Identifier

7.1.6.1. Reserved Certificate Policy Identifiers

This section describes the content requirements for the Root CA, Subordinate CA, and Subscriber Certificates, as they relate to the identification of Certificate Policy.

The following Certificate Policy identifiers are reserved for use by CAs as an optional means of asserting compliance with these Requirements as follows:

{joint-iso-itu-t(2) international-organizations(23) ca-browser-forum(140) certificate-policies(1) baseline-requirements(2) domain-validated(1)} (2.23.140.1.2.1), if the Certificate complies with these Requirements but lacks Subject Identity Information that is verified in accordance with Section 3.2.2.1 or Section 3.2.3.

If the Certificate asserts the policy identifier of 2.23.140.1.2.1, then it MUST NOT include `organizationName`, `givenName`, `surname`, `streetAddress`, `localityName`, `stateOrProvinceName`, or `postalCode` in the Subject field.

{joint-iso-itu-t(2) international-organizations(23) ca-browser-forum(140) certificate-policies(1) baseline-requirements(2) organization-validated(2)} (2.23.140.1.2.2), if the Certificate complies

with these Requirements and includes Subject Identity Information that is verified in accordance with Section 3.2.2.1.

{joint-iso-itu-t(2) international-organizations(23) ca-browser-forum(140) certificate-policies(1) baseline-requirements(2) individual-validated(3)} (2.23.140.1.2.3), if the Certificate complies with these Requirements and includes Subject Identity Information that is verified in accordance with Section 3.2.3.

If the Certificate asserts the policy identifier of 2.23.140.1.2.2, then it MUST also include organizationName, localityName (to the extent such field is required under Section 7.1.4.2.2), stateOrProvinceName (to the extent such field is required under Section 7.1.4.2.2), and countryName in the Subject field. If the Certificate asserts the policy identifier of 2.23.140.1.2.3, then it MUST also include (i) either organizationName or givenName and surname, (ii) localityName (to the extent such field is required under Section 7.1.4.2.2), (iii) stateOrProvinceName (to the extent required under Section 7.1.4.2.2), and (iv) countryName in the Subject field.

7.1.6.2. Root CA Certificates

A Root CA Certificate SHOULD NOT contain the certificatePolicies extension.

7.1.6.3. Subordinate CA Certificates

A Certificate issued to a Subordinate CA that is not an Affiliate of the Issuing CA:

1. MUST include one or more explicit policy identifiers that indicate the Subordinate CA's adherence to and compliance with these Requirements (i.e. either the CA/Browser Forum reserved identifiers or identifiers documented by the CA in its Certificate Policy and/or Certification Practice Statement) and
2. MUST NOT contain the "anyPolicy" identifier (2.5.29.32.0).

A Certificate issued to a Subordinate CA that is an affiliate of the Issuing CA:

1. MAY include the CA/Browser Forum reserved identifiers or an identifier documented by the CA in its Certificate Policy and/or Certification Practice Statement to indicate the Subordinate CA's compliance with these Requirements and
2. MAY contain the "anyPolicy" identifier (2.5.29.32.0) in place of an explicit policy identifier.

A Subordinate CA SHALL represent, in its Certificate Policy and/or Certification Practice Statement, that all Certificates containing a policy identifier indicating compliance with these Requirements are issued and managed in accordance with these Requirements.

7.1.6.4. Subscriber Certificates

A Certificate issued to a Subscriber MUST contain a certificatePolicies extension.

The extension MUST contain one or more policy identifiers that indicate adherence to and compliance with these Requirements. CAs MUST either use a CA/Browser Forum identifier reserved for this purpose or MUST use a policy identifier documented by the CA in its Certificate Policy and/or Certification Practice Statement to indicate the Certificate's compliance with these Requirements.

The issuing CA SHALL document in its Certificate Policy or Certification Practice Statement that the Certificates it issues containing the specified policy identifier(s) are managed in accordance with these Requirements.

7.1.7. Usage of Policy Constraints extension

No stipulation.

7.1.8. Policy qualifiers syntax and semantics

No stipulation.

7.1.9. Processing semantics for the critical Certificate Policies extension

No stipulation.

7.2. CRL profile

7.2.1. Version number(s)

No stipulation.

7.2.2. CRL and CRL entry extensions

No stipulation.

7.3. OCSP profile

7.3.1. Version number(s)

No stipulation.

7.3.2. OCSP extensions

No stipulation.

8. COMPLIANCE AUDIT AND OTHER ASSESSMENTS

The CA SHALL at all times:

1. Issue Certificates and operate its PKI in accordance with all laws applicable to its business and the Certificates it issues in every jurisdiction in which it operates;
2. Comply with these Requirements;
3. Comply with the audit requirements set forth in this section; and
4. Be licensed as a CA in each jurisdiction where it operates, if licensing is required by the laws of such jurisdiction for the issuance of Certificates.

8.1. Frequency or circumstances of assessment

Certificates that are capable of being used to issue new certificates MUST either be Technically Constrained in line with section 7.1.5 and audited in line with section 8.7 only, or Unconstrained and fully audited in line with all remaining requirements from this section. A Certificate is deemed as capable of being used to issue new certificates if it contains an X.509v3 basicConstraints extension, with the cA boolean set to true and is therefore by definition a Root CA Certificate or a Subordinate CA Certificate.

The period during which the CA issues Certificates SHALL be divided into an unbroken sequence of audit periods. An audit period MUST NOT exceed one year in duration.

If the CA has a currently valid Audit Report indicating compliance with an audit scheme listed in Section 8.1, then no pre-issuance readiness assessment is necessary.

If the CA does not have a currently valid Audit Report indicating compliance with one of the audit schemes listed in Section 8.1, then, before issuing Publicly-Trusted Certificates, the CA SHALL successfully complete a point-in-time readiness assessment performed in accordance with applicable standards under one of the audit schemes listed in Section 8.1. The point-in-time readiness assessment SHALL be completed no earlier than twelve (12) months prior to issuing Publicly-Trusted Certificates and SHALL be followed by a complete audit under such scheme within ninety (90) days of issuing the first Publicly-Trusted Certificate.

8.2. Identity/qualifications of assessor

The CA's audit SHALL be performed by a Qualified Auditor. A Qualified Auditor means a natural person, Legal Entity, or group of natural persons or Legal Entities that collectively possess the following qualifications and skills:

1. Independence from the subject of the audit;
2. The ability to conduct an audit that addresses the criteria specified in an Eligible Audit Scheme (see Section 8.1);
3. Employs individuals who have proficiency in examining Public Key Infrastructure technology, information security tools and techniques, information technology and security auditing, and the third-party attestation function;
4. (For audits conducted in accordance with any one of the ETSI standards) accredited in accordance with ETSI TS 119 403, or accredited to conduct such audits under an equivalent national scheme, or accredited by a national accreditation body in line with ISO 27006 to carry out ISO 27001 audits;

5. (For audits conducted in accordance with the WebTrust standard) licensed by WebTrust;
6. Bound by law, government regulation, or professional code of ethics; and
7. Except in the case of an Internal Government Auditing Agency, maintains Professional Liability/Errors & Omissions insurance with policy limits of at least one million US dollars in coverage.

Qualified Auditors must hold omissions insurance with policy limits of at least one million US dollars in coverage.

8.3. Assessor's relationship to assessed entity

No stipulation.

8.4. Topics covered by assessment

The CA SHALL undergo an audit in accordance with one of the following schemes:

1. WebTrust for Certification Authorities v2.1;
2. A national scheme that audits conformance to ETSI TS 102 042 / ETSI EN 319 411-1; or
3. If a Government CA is required by its Certificate Policy to use a different internal audit scheme, it MAY use such scheme provided that the audit either
 - (a) encompasses all requirements of one of the above schemes or
 - (b) consists of comparable criteria that are available for public review.

Whichever scheme is chosen, it MUST incorporate periodic monitoring and/or accountability procedures to ensure that its audits continue to be conducted in accordance with the requirements of the scheme.

The audit MUST be conducted by a Qualified Auditor, as specified in Section 8.2.

For Delegated Third Parties which are not Enterprise RAs, then the CA SHALL obtain an audit report, issued under the auditing standards that underlie the accepted audit schemes found in Section 8.1, that provides an opinion whether the Delegated Third Party's performance complies with either the Delegated Third Party's practice statement or the CA's Certificate Policy and/or Certification Practice Statement. If the opinion is that the Delegated Third Party does not comply, then the CA SHALL not allow the Delegated Third Party to continue performing delegated functions.

The audit period for the Delegated Third Party SHALL NOT exceed one year (ideally aligned with the CA's audit). However, if the CA or Delegated Third Party is under the operation, control, or supervision of a Government Entity and the audit scheme is completed over multiple years, then the annual audit MUST cover at least the core controls that are required to be audited annually by such scheme plus that portion of all non-core controls that are allowed to be conducted less frequently, but in no case may any non-core control be audited less often than once every three years.

8.5. Actions taken as a result of deficiency

No stipulation.

8.6. Communication of results

The Audit Report SHALL state explicitly that it covers the relevant systems and processes used in the issuance of all Certificates that assert one or more of the policy identifiers listed in Section 7.1.6.1. The CA SHALL make the Audit Report publicly available. The CA is not required to make publicly available any general audit findings that do not impact the overall audit opinion. For both government and commercial CAs, the CA SHOULD make its Audit Report publicly available no later than three months after the end of the audit period. In the event of a delay greater than three months, and if so requested by an Application Software Supplier, the CA SHALL provide an explanatory letter signed by the Qualified Auditor.

8.7. Self-Audits

During the period in which the CA issues Certificates, the CA SHALL monitor adherence to its Certificate Policy, Certification Practice Statement and these Requirements and strictly control its service quality by performing self audits on at least a quarterly basis against a randomly selected sample of the greater of one certificate or at least three percent of the Certificates issued by it during the period commencing immediately after the previous self-audit sample was taken. Except for Delegated Third Parties that undergo an annual audit that meets the criteria specified in Section 8.1, the CA SHALL strictly control the service quality of Certificates issued or containing information verified by a Delegated Third Party by having a Validation Specialist employed by the CA perform ongoing quarterly audits against a randomly selected sample of at least the greater of one certificate or three percent of the Certificates verified by the Delegated Third Party in the period beginning immediately after the last sample was taken. The CA SHALL review each Delegated Third Party's practices and procedures to ensure that the Delegated Third Party is in compliance with these Requirements and the relevant Certificate Policy and/or Certification Practice Statement.

The CA SHALL internally audit each Delegated Third Party's compliance with these Requirements on an annual basis.

During the period in which a Technically Constrained Subordinate CA issues Certificates, the CA which signed the Subordinate CA SHALL monitor adherence to the CA's Certificate Policy and the Subordinate CA's Certification Practice Statement. On at least a quarterly basis, against a randomly selected sample of the greater of one certificate or at least three percent of the Certificates issued by the Subordinate CA, during the period commencing immediately after the previous audit sample was taken, the CA SHALL ensure all applicable CP are met.

9. OTHER BUSINESS AND LEGAL MATTERS

9.1. Fees

9.1.1. Certificate issuance or renewal fees

No stipulation.

9.1.2. Certificate access fees

No stipulation.

9.1.3. Revocation or status information access fees

No stipulation.

9.1.4. Fees for other services

No stipulation.

9.1.5. Refund policy

No stipulation.

9.2. Financial responsibility

9.2.1. Insurance coverage

No stipulation.

9.2.2. Other assets

No stipulation.

9.2.3. Insurance or warranty coverage for end-entities

No stipulation.

9.3. Confidentiality of business information

9.3.1. Scope of confidential information

No stipulation.

9.3.2. Information not within the scope of confidential information

No stipulation.

9.3.3. Responsibility to protect confidential information

No stipulation.

9.4. Privacy of personal information

9.4.1. Privacy plan

No stipulation.

9.4.2. Information treated as private

No stipulation.

9.4.3. Information not deemed private

No stipulation.

9.4.4. Responsibility to protect private information

No stipulation.

9.4.5. Notice and consent to use private information

No stipulation.

9.4.6. Disclosure pursuant to judicial or administrative process

No stipulation.

9.4.7. Other information disclosure circumstances

No stipulation.

9.5. Intellectual property rights

No stipulation.

9.6. Representations and warranties

9.6.1. CA representations and warranties

By issuing a Certificate, the CA makes the certificate warranties listed herein to the following Certificate Beneficiaries:

1. The Subscriber that is a party to the Subscriber or Terms of Use Agreement for the Certificate;
2. All Application Software Suppliers with whom the Root CA has entered into a contract for inclusion of its Root Certificate in software distributed by such Application Software Supplier; and
3. All Relying Parties who reasonably rely on a Valid Certificate.

The CA represents and warrants to the Certificate Beneficiaries that, during the period when the Certificate is valid, the CA has complied with these Requirements and its Certificate Policy and/or Certification Practice Statement in issuing and managing the Certificate.

The Certificate Warranties specifically include, but are not limited to, the following:

1. **Right to Use Domain Name or IP Address:** That, at the time of issuance, the CA (i) implemented a procedure for verifying that the Applicant either had the right to use, or had control of, the Domain Name(s) and IP address(es) listed in the Certificate's subject field and subjectAltName extension (or, only in the case of Domain Names, was delegated such right or control by someone who had such right to use or control); (ii) followed the procedure when issuing the Certificate; and (iii) accurately described the procedure in the CA's Certificate Policy and/or Certification Practice Statement;
2. **Authorization for Certificate:** That, at the time of issuance, the CA (i) implemented a procedure for verifying that the Subject authorized the issuance of the Certificate and that the Applicant Representative is authorized to request the Certificate on behalf of the Subject; (ii) followed the procedure when issuing the Certificate; and (iii) accurately described the procedure in the CA's Certificate Policy and/or Certification Practice Statement;
3. **Accuracy of Information:** That, at the time of issuance, the CA (i) implemented a procedure for verifying the accuracy of all of the information contained in the Certificate (with the exception of the subject:organizationalUnitName attribute); (ii) followed the procedure when issuing the Certificate; and (iii) accurately described the procedure in the CA's Certificate Policy and/or Certification Practice Statement;
4. **No Misleading Information:** That, at the time of issuance, the CA (i) implemented a procedure for reducing the likelihood that the information contained in the Certificate's subject:organizationalUnitName attribute would be misleading; (ii) followed the procedure when issuing the Certificate; and (iii) accurately described the procedure in the CA's Certificate Policy and/or Certification Practice Statement;
5. **Identity of Applicant:** That, if the Certificate contains Subject Identity Information, the CA (i) implemented a procedure to verify the identity of the Applicant in accordance with Sections 3.2 and 11.2; (ii) followed the procedure when issuing the Certificate; and (iii) accurately described the procedure in the CA's Certificate Policy and/or Certification Practice Statement;
6. **Subscriber Agreement:** That, if the CA and Subscriber are not Affiliated, the Subscriber and CA are parties to a legally valid and enforceable Subscriber Agreement that satisfies these Requirements, or, if the CA and Subscriber are Affiliated, the Applicant Representative acknowledged and accepted the Terms of Use;
7. **Status:** That the CA maintains a 24 x 7 publicly-accessible Repository with current information regarding the status (valid or revoked) of all unexpired Certificates; and
8. **Revocation:** That the CA will revoke the Certificate for any of the reasons specified in these Requirements. The Root CA SHALL be responsible for the performance and warranties of the Subordinate CA, for the Subordinate CA's compliance with these Requirements, and for all liabilities and indemnification obligations of the Subordinate CA under these Requirements, as if the Root CA were the Subordinate CA issuing the Certificates

9.6.2. RA representations and warranties

No stipulation.

9.6.3. Subscriber representations and warranties

The CA SHALL require, as part of the Subscriber or Terms of Use Agreement, that the Applicant make the commitments and warranties in this section for the benefit of the CA and the Certificate Beneficiaries. Prior to the issuance of a Certificate, the CA SHALL obtain, for the express benefit of the CA and the Certificate Beneficiaries, either:

1. The Applicant's agreement to the Subscriber Agreement with the CA, or
2. The Applicant's agreement to the Terms of Use agreement.

The CA SHALL implement a process to ensure that each Subscriber or Terms of Use Agreement is legally enforceable against the Applicant. In either case, the Agreement MUST apply to the Certificate to be issued pursuant to the certificate request. The CA may use an electronic or "click-through" Agreement provided that the CA has determined that such agreements are legally enforceable. A separate Agreement MAY be used for each certificate request, or a single Agreement MAY be used to cover multiple future certificate requests and the resulting Certificates, so long as each Certificate that the CA issues to the Applicant is clearly covered by that Subscriber or Terms of Use Agreement. The Subscriber or Terms of Use Agreement MUST contain provisions imposing on the Applicant itself (or made by the Applicant on behalf of its principal or agent under a subcontractor or hosting service relationship) the following obligations and warranties:

1. **Accuracy of Information:** An obligation and warranty to provide accurate and complete information at all times to the CA, both in the certificate request and as otherwise requested by the CA in connection with the issuance of the Certificate(s) to be supplied by the CA;
2. **Protection of Private Key:** An obligation and warranty by the Applicant to take all reasonable measures to maintain sole control of, keep confidential, and properly protect at all times the Private Key that corresponds to the Public Key to be included in the requested Certificate(s) (and any associated activation data or device, e.g. password or token);
3. **Acceptance of Certificate:** An obligation and warranty that the Subscriber will review and verify the Certificate contents for accuracy;
4. **Use of Certificate:** An obligation and warranty to install the Certificate only on servers that are accessible at the subjectAltName(s) listed in the Certificate, and to use the Certificate solely in compliance with all applicable laws and solely in accordance with the Subscriber or Terms of Use Agreement;
5. **Reporting and Revocation:** An obligation and warranty to promptly cease using a Certificate and its associated Private Key, and promptly request the CA to revoke the Certificate, in the event that: (a) any information in the Certificate is, or becomes, incorrect or inaccurate, or (b) there is any actual or suspected misuse or compromise of the Subscriber's Private Key associated with the Public Key included in the Certificate;
6. **Termination of Use of Certificate:** An obligation and warranty to promptly cease all use of the Private Key corresponding to the Public Key included in the Certificate upon revocation of that Certificate for reasons of Key Compromise.
7. **Responsiveness:** An obligation to respond to the CA's instructions concerning Key Compromise or Certificate misuse within a specified time period.
8. **Acknowledgment and Acceptance:** An acknowledgment and acceptance that the CA is entitled to revoke the certificate immediately if the Applicant were to violate the terms of the Subscriber or Terms of Use Agreement or if the CA discovers that the Certificate is being used to enable criminal activities such as phishing attacks, fraud, or the distribution of malware.

9.6.4. Relying party representations and warranties

No stipulation.

9.6.5. Representations and warranties of other participants

No stipulation.

9.7. Disclaimers of warranties

No stipulation.

9.8. Limitations of liability

For delegated tasks, the CA and any Delegated Third Party MAY allocate liability between themselves contractually as they determine, but the CA SHALL remain fully responsible for the performance of all parties in accordance with these Requirements, as if the tasks had not been delegated.

If the CA has issued and managed the Certificate in compliance with these Requirements and its Certificate Policy and/or Certification Practice Statement, the CA may disclaim liability to the Certificate Beneficiaries or any other third parties for any losses suffered as a result of use or reliance on such Certificate beyond those specified in the CA's Certification Practice Statement. If the CA has not issued or managed the Certificate in compliance with applicable requirements and its Certification Practice Statement, the CA may seek to limit its liability to the Subscriber and to Relying Parties, regardless of the cause of action or legal theory involved, for any and all claims, losses or damages suffered as a result of the use or reliance on such Certificate by any appropriate means that the CA desires. If the CA chooses to so limit its liability, then the CA SHALL include the limitations on liability in its Certification Practice Statement.

9.9. Indemnities

No stipulation.

9.10. Term and termination

9.10.1. Term

No stipulation.

9.10.2. Termination

No stipulation.

9.10.3. Effect of termination and survival

No stipulation.

9.11. Individual notices and communications with participants

No stipulation.

9.12. Amendments

9.12.1. Procedure for amendment

No stipulation.

9.12.2. Notification mechanism and period

No stipulation.

9.12.3. Circumstances under which OID MUST be changed

No stipulation.

9.13. Dispute resolution provisions

No stipulation.

9.14. Governing law

No stipulation.

9.15. Compliance with applicable law

No stipulation.

9.16. Miscellaneous provisions

9.16.1. Entire agreement

No stipulation.

9.16.2. Assignment

No stipulation.

9.16.3. Severability

No stipulation.

9.16.4. Enforcement (attorneys' fees and waiver of rights)

No stipulation.

9.16.5. Force Majeure

No stipulation.

9.17. Other provisions

No stipulation.

Appendix A: References

Definitions

Affiliate: A corporation, partnership, joint venture or other entity controlling, controlled by, or under common control with another entity, or an agency, department, political subdivision, or any entity operating under the direct control of a Government Entity.

Applicant: The natural person or Legal Entity that applies for (or seeks renewal of) a Certificate. Once the Certificate issues, the Applicant is referred to as the Subscriber. For Certificates issued to devices, the Applicant is the entity that controls or operates the device named in the Certificate, even if the device is sending the actual certificate request.

Applicant Representative: A natural person or human sponsor who is either the Applicant, employed by the Applicant, or an authorized agent who has express authority to represent the Applicant: (i) who signs and submits, or approves a certificate request on behalf of the Applicant, and/or (ii) who signs and submits a Subscriber Agreement on behalf of the Applicant, and/or (iii) who acknowledges the Terms of Use on behalf of the Applicant when the Applicant is an Affiliate of the CA or is the CA.

Application Software Supplier: A supplier of Internet browser software or other relying-party application software that displays or uses Certificates and incorporates Root Certificates.

Attestation Letter: A letter attesting that Subject Information is correct written by an accountant, lawyer, government official, or other reliable third party customarily relied upon for such information.

Audit Period: In a period-of-time audit, the period between the first day (start) and the last day of operations (end) covered by the auditors in their engagement. (This is not the same as the period of time when the auditors are on-site at the CA.) The coverage rules and maximum length of audit periods are defined in section 8.1.

Audit Report: A report from a Qualified Auditor stating the Qualified Auditor's opinion on whether an entity's processes and controls comply with the mandatory provisions of these Requirements.

Authorization Domain Name: The Domain Name used to obtain authorization for certificate issuance for a given FQDN. The CA may use the FQDN returned from a DNS CNAME lookup as the FQDN for the purposes of domain validation. If the FQDN contains a wildcard character, then the CA MUST remove all wildcard labels from the left most portion of requested FQDN. The CA may prune zero or more labels from left to right until encountering a Base Domain Name and may use any one of the intermediate values for the purpose of domain validation.

Authorized Ports: One of the following ports: 80 (http), 443 (https), 25 (smtp), 22 (ssh).

Base Domain Name: The portion of an applied-for FQDN that is the first domain name node left of a registry- controlled or public suffix plus the registry-controlled or public suffix (e.g. "example.co.uk" or "example.com"). For FQDNs where the right-most domain name node is a gTLD having ICANN Specification 13 in its registry agreement, the gTLD itself may be used as the Base Domain Name.

Baseline Requirements (BR): CA/Browser Forum Baseline Requirements for the Issuance

and Management of Publicly Trusted Certificates, available at <https://cabforum.org/baseline-requirements-documents/>

CAA: From RFC 6844 (<http://tools.ietf.org/html/rfc6844>): “The Certification Authority Authorization (CAA) DNS Resource Record allows a DNS domain name holder to specify the Certification Authorities (CAs) authorized to issue certificates for that domain. Publication of CAA Resource Records allows a public Certification Authority to implement additional controls to reduce the risk of unintended certificate mis- issue.”

Certificate: An electronic document that uses a digital signature to bind a public key and an identity.

Certificate Data: Certificate requests and data related thereto (whether obtained from the Applicant or otherwise) in the CA’s possession or control or to which the CA has access.

Certificate Management Process: Processes, practices, and procedures associated with the use of keys, software, and hardware, by which the CA verifies Certificate Data, issues Certificates, maintains a Repository, and revokes Certificates.

Certificate Policy: A set of rules that indicates the applicability of a named Certificate to a particular community and/or PKI implementation with common security requirements.

Certificate Problem Report: Complaint of suspected Key Compromise, Certificate misuse, or other types of fraud, compromise, misuse, or inappropriate conduct related to Certificates.

Certificate Revocation List: A regularly updated time-stamped list of revoked Certificates that is created and digitally signed by the CA that issued the Certificates.

Certification Authority: An organization that is responsible for the creation, issuance, revocation, and management of Certificates. The term applies equally to both Roots CAs and Subordinate CAs.

Certification Practice Statement: One of several documents forming the governance framework in which Certificates are created, issued, managed, and used.

Control: “Control” (and its correlative meanings, “controlled by” and “under common control with”) means possession, directly or indirectly, of the power to: (1) direct the management, personnel, finances, or plans of such entity; (2) control the election of a majority of the directors ; or (3) vote that portion of voting shares required for “control” under the law of the entity’s Jurisdiction of Incorporation or Registration but in no case less than 10%.

Country: Either a member of the United Nations OR a geographic region recognized as a Sovereign State by at least two UN member nations.

Cross Certificate: A certificate that is used to establish a trust relationship between two Root CAs.

CSPRNG: A random number generator intended for use in cryptographic system.

Delegated Third Party: A natural person or Legal Entity that is not the CA, and whose activities are not within the scope of the appropriate CA audits, but is authorized by the CA to assist in the Certificate Management Process by performing or fulfilling one or more of the CA requirements found herein.

DNS CAA Email Contact: The email address defined in section B.1.1 in Appendix B to the BR.

DNS CAA Phone Contact: The phone number defined in section B.1.2. in Appendix B to the BR.

DNS TXT Record Email Contact: The email address defined in section B.2.1 in Appendix B to the BR.

DNS TXT Record Phone Contact: The phone number defined in section B.2.2 in Appendix B to the BR.

Domain Authorization Document: Documentation provided by, or a CA's documentation of a communication with, a Domain Name Registrar, the Domain Name Registrant, or the person or entity listed in WHOIS as the Domain Name Registrant (including any private, anonymous, or proxy registration service) attesting to the authority of an Applicant to request a Certificate for a specific Domain Namespace.

Domain Contact: The Domain Name Registrant, technical contact, or administrative contact (or the equivalent under a ccTLD) as listed in the WHOIS record of the Base Domain Name or in a DNS SOA record, or as obtained through direct contact with the Domain Name Registrar.

Domain Name: The label assigned to a node in the Domain Name System.

Domain Namespace: The set of all possible Domain Names that are subordinate to a single node in the Domain Name System.

Domain Name Registrant: Sometimes referred to as the “owner” of a Domain Name, but more properly the person(s) or entity(ies) registered with a Domain Name Registrar as having the right to control how a Domain Name is used, such as the natural person or Legal Entity that is listed as the “Registrant” by WHOIS or the Domain Name Registrar.

Domain Name Registrar: A person or entity that registers Domain Names under the auspices of or by agreement with: (i) the Internet Corporation for Assigned Names and Numbers (ICANN), (ii) a national Domain Name authority/registry, or (iii) a Network Information Center (including their affiliates, contractors, delegates, successors, or assignees).

Enterprise RA: An employee or agent of an organization unaffiliated with the CA who authorizes issuance of Certificates to that organization.

Expiry Date: The “Not After” date in a Certificate that defines the end of a Certificate's validity period.

Fully-Qualified Domain Name: A Domain Name that includes the labels of all superior nodes in the Internet Domain Name System.

Government Entity: A government-operated legal entity, agency, department, ministry, branch, or similar element of the government of a country, or political subdivision within such country (such as a state, province, city, county, etc.).

High Risk Certificate Request: A Request that the CA flags for additional scrutiny by reference to internal criteria and databases maintained by the CA, which may include names at higher risk for phishing or other fraudulent usage, names contained in previously rejected certificate requests

or revoked Certificates, names listed on the Miller Smiles phishing list or the Google Safe Browsing list, or names that the CA identifies using its own risk-mitigation criteria.

Internal Name: A string of characters (not an IP address) in a Common Name or Subject Alternative Name field of a Certificate that cannot be verified as globally unique within the public DNS at the time of certificate issuance because it does not end with a Top Level Domain registered in IANA's Root Zone Database.

IP Address: A 32-bit or 128-bit label assigned to a device that uses the Internet Protocol for communication.

IP Address Contact: The person(s) or entity(ies) registered with an IP Address Registration Authority as having the right to control how one or more IP Addresses are used.

IP Address Registration Authority: The Internet Assigned Numbers Authority (IANA) or a Regional Internet Registry (RIPE, APNIC, ARIN, AfriNIC, LACNIC).

Issuing CA: In relation to a particular Certificate, the CA that issued the Certificate. This could be either a Root CA or a Subordinate CA.

Key Compromise: A Private Key is said to be compromised if its value has been disclosed to an unauthorized person or an unauthorized person has had access to it.

Key Generation Script: A documented plan of procedures for the generation of a CA Key Pair.

Key Pair: The Private Key and its associated Public Key.

Legal Entity: An association, corporation, partnership, proprietorship, trust, government entity or other entity with legal standing in a country's legal system.

Object Identifier: A unique alphanumeric or numeric identifier registered under the International Organization for Standardization's applicable standard for a specific object or object class.

OCSP Responder: An online server operated under the authority of the CA and connected to its Repository for processing Certificate status requests. See also, Online Certificate Status Protocol.

Online Certificate Status Protocol: An online Certificate-checking protocol that enables relying-party application software to determine the status of an identified Certificate. See also OCSP Responder.

Parent Company: A company that Controls a Subsidiary Company.

Private Key: The key of a Key Pair that is kept secret by the holder of the Key Pair, and that is used to create Digital Signatures and/or to decrypt electronic records or files that were encrypted with the corresponding Public Key.

Public Key: The key of a Key Pair that may be publicly disclosed by the holder of the corresponding Private Key and that is used by a Relying Party to verify Digital Signatures created with the holder's corresponding Private Key and/or to encrypt messages so that they can be decrypted only with the holder's corresponding Private Key.

Public Key Infrastructure: A set of hardware, software, people, procedures, rules, policies, and obligations used to facilitate the trustworthy creation, issuance, management, and use of Certificates and keys based on Public Key Cryptography.

Publicly-Trusted Certificate: A Certificate that is trusted by virtue of the fact that its corresponding Root Certificate is distributed as a trust anchor in widely-available application software.

Qualified Auditor: A natural person or Legal Entity that meets the requirements of Section 8.2.

Random Value: A value specified by a CA to the Applicant that exhibits at least 112 bits of entropy.

Registered Domain Name: A Domain Name that has been registered with a Domain Name Registrar.

Registration Authority (RA): Any Legal Entity that is responsible for identification and authentication of subjects of Certificates, but is not a CA, and hence does not sign or issue Certificates. An RA may assist in the certificate application process or revocation process or both. When “RA” is used as an adjective to describe a role or function, it does not necessarily imply a separate body, but can be part of the CA.

Reliable Data Source: An identification document or source of data used to verify Subject Identity Information that is generally recognized among commercial enterprises and governments as reliable, and which was created by a third party for a purpose other than the Applicant obtaining a Certificate.

Reliable Method of Communication: A method of communication, such as a postal/courier delivery address, telephone number, or email address, that was verified using a source other than the Applicant Representative.

Relying Party: Any natural person or Legal Entity that relies on a Valid Certificate. An Application Software Supplier is not considered a Relying Party when software distributed by such Supplier merely displays information relating to a Certificate.

Repository: An online database containing publicly-disclosed PKI governance documents (such as Certificate Policies and Certification Practice Statements) and Certificate status information, either in the form of a CRL or an OCSP response.

Request Token: A value, derived in a method specified by the CA which binds this demonstration of control to the certificate request. The CA SHOULD define within its CPS (or a document clearly referenced by the CPS) the format and method of Request Tokens it accepts.

The Request Token SHALL incorporate the key used in the certificate request.

A Request Token MAY include a timestamp to indicate when it was created.

A Request Token MAY include other information to ensure its uniqueness.

A Request Token that includes a timestamp SHALL remain valid for no more than 30 days from the time of creation.

A Request Token that includes a timestamp SHALL be treated as invalid if its timestamp is in the future.

A Request Token that does not include a timestamp is valid for a single use and the CA SHALL NOT re-use it for a subsequent validation.

The binding SHALL use a digital signature algorithm or a cryptographic hash algorithm at least as strong as that to be used in signing the certificate request.

Note: Examples of Request Tokens include, but are not limited to: (i) a hash of the public key; or (ii) a hash of the Subject Public Key Info [X.509]; or (iii) a hash of a PKCS#10 CSR. A Request Token may also be concatenated with a timestamp or other data. If a CA wanted to always use a hash of a PKCS#10 CSR as a Request Token and did not want to incorporate a timestamp and did want to allow certificate key re-use then the applicant might use the challenge password in the creation of a CSR with OpenSSL to ensure uniqueness even if the subject and key are identical between subsequent requests.

Required Website Content: Either a Random Value or a Request Token, together with additional information that uniquely identifies the Subscriber, as specified by the CA.

Requirements: The Baseline Requirements found in this document.

Reserved IP Address: An IPv4 or IPv6 address that the IANA has marked as reserved: <http://www.iana.org/assignments/ipv4-address-space/ipv4-address-space.xml> <http://www.iana.org/assignments/address-space/ipv6-address-space.xml>

Root CA: The top level Certification Authority whose Root Certificate is distributed by Application Software Suppliers and that issues Subordinate CA Certificates.

Root Certificate: The self-signed Certificate issued by the Root CA to identify itself and to facilitate verification of Certificates issued to its Subordinate CAs.

Sovereign State: A state or country that administers its own government, and is not dependent upon, or subject to, another power.

Subject: The natural person, device, system, unit, or Legal Entity identified in a Certificate as the Subject. The Subject is either the Subscriber or a device under the control and operation of the Subscriber.

Subject Identity Information: Information that identifies the Certificate Subject. Subject Identity Information does not include a domain name listed in the subjectAltName extension or the Subject commonName field.

Subordinate CA: A Certification Authority whose Certificate is signed by the Root CA, or another Subordinate CA.

Subscriber: A natural person or Legal Entity to whom a Certificate is issued and who is legally bound by a Subscriber Agreement or Terms of Use.

Subscriber Agreement: An agreement between the CA and the Applicant/Subscriber that specifies the rights and responsibilities of the parties.

Subsidiary Company: A company that is controlled by a Parent Company.

Technically Constrained Subordinate CA Certificate: A Subordinate CA certificate which uses a combination of Extended Key Usage settings and Name Constraint settings to limit the scope within which the Subordinate CA Certificate may issue Subscriber or additional Subordinate CA Certificates.

Terms of Use: Provisions regarding the safekeeping and acceptable uses of a Certificate issued in accordance with these Requirements when the Applicant/Subscriber is an Affiliate of the CA or is the CA.

Test Certificate: A Certificate which is issued under a CA where there are no certificate paths/chains to a root certificate subject to these Requirements.

Trustworthy System: Computer hardware, software, and procedures that are: reasonably secure from intrusion and misuse; provide a reasonable level of availability, reliability, and correct operation; are reasonably suited to performing their intended functions; and enforce the applicable security policy.

Unregistered Domain Name: A Domain Name that is not a Registered Domain Name.

Valid Certificate: A Certificate that passes the validation procedure specified in RFC 5280.

Validation Specialists: Someone who performs the information verification duties specified by these Requirements.

Validity Period: The period of time measured from the date when the Certificate is issued until the Expiry Date.

WHOIS: Information retrieved directly from the Domain Name Registrar or registry operator via the protocol defined in RFC 3912, the Registry Data Access Protocol defined in RFC 7482, or an HTTPS website.

Wildcard Certificate: A Certificate containing an asterisk (*) in the left-most position of any of the Subject Fully-Qualified Domain Names contained in the Certificate.

Wildcard Domain Name: A Domain Name consisting of a single asterisk character followed by a single full stop character ("*.") followed by a Fully-Qualified Domain Name.

Acronyms

AICPA, American Institute of Certified Public Accountants

ADN, Authorization Domain Name

BR, CA/Browser Forum Baseline Requirements

CA, Certificate Authority

CAA, Certificate Authority Authorization

ccTLD, Country Code Top-Level Domain

CICA, Canadian Institute of Chartered Accountants

CP, Certificate Policy

CPS, Certification Practice Statement

CRL, Certificate Revocation List

DBA, Doing Business As

DNS, Domain Name System

FIPS, (US Government) Federal Information Processing Standard

FQDN, Fully Qualified Domain Name

IM, Instant Messaging

IANA, Internet Assigned Numbers Authority

ICANN, Internet Corporation for Assigned Names and Numbers

ISO, International Organization for Standardization

NIST, (US Government) National Institute of Standards and Technology

OCSP, Online Certificate Status Protocol

OID, Object Identifier

PKI, Public Key Infrastructure

RA, Registration Authority

S/MIME, Secure MIME (Multipurpose Internet Mail Extensions) SSL Secure Sockets Layer

TLD, Top-Level Domain

TLS, Transport Layer Security

VoIP, Voice Over Internet Protocol

References

ETSI EN 319 403, Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment - Requirements for conformity assessment bodies assessing Trust Service Providers.

ETSI EN 319 411-1, Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements.

ETSI TS 102 042, Electronic Signatures and Infrastructures (ESI); Policy requirements for certification authorities issuing public key certificates.

FIPS 140-2, Federal Information Processing Standards Publication - Security Requirements For Cryptographic Modules, Information Technology Laboratory, National Institute of Standards and Technology, May 25, 2001.

FIPS 186-4, Federal Information Processing Standards Publication - Digital Signature Standard (DSS), Information Technology Laboratory, National Institute of Standards and Technology, July 2013.

ISO 21188:2006, Public key infrastructure for financial services -- Practices and policy framework. Network and Certificate System Security Requirements, v.1.0, 1/1/2013.

NIST SP 800-89, Recommendation for Obtaining Assurances for Digital Signature Applications, http://csrc.nist.gov/publications/nistpubs/800-89/SP-800-89_November2006.pdf.

RFC2119, Request for Comments: 2119, Key words for use in RFCs to Indicate Requirement Levels, Bradner, March 1997.

RFC2527, Request for Comments: 2527, Internet X.509 Public Key Infrastructure: Certificate Policy and Certification Practices Framework, Chokhani, et al, March 1999.

RFC3647, Request for Comments: 3647, Internet X.509 Public Key Infrastructure: Certificate Policy and Certification Practices Framework, Chokhani, et al, November 2003.

RFC4366, Request for Comments: 4366, Transport Layer Security (TLS) Extensions, Blake-Wilson, et al, April 2006.

RFC5019, Request for Comments: 5019, The Lightweight Online Certificate Status Protocol (OCSP) Profile for High-Volume Environments, A. Deacon, et al, September 2007.

RFC5280, Request for Comments: 5280, Internet X.509 Public Key Infrastructure: Certificate and Certificate Revocation List (CRL) Profile, Cooper et al, May 2008.

RFC6844, Request for Comments: 6844, DNS Certification Authority Authorization (CAA) Resource Record, Hallam-Baker, Stradling, January 2013.

RFC6960, Request for Comments: 6960, X.509 Internet Public Key Infrastructure Online Certificate Status Protocol - OCSP. Santesson, Myers, Ankney, Malpani, Galperin, Adams, June 2013.

RFC6962, Request for Comments: 6962, Certificate Transparency. B. Laurie, A. Langley, E. Kasper. June 2013.

WebTrust for Certification Authorities , SSL Baseline with Network Security, Version 2.2, available at <http://www.webtrust.org/principles-and-criteria/docs/item83987.pdf>.

X.509, Recommendation ITU-T X.509 (10/2012) | ISO/IEC 9594-8:2014 (E), Information technology – Open Systems Interconnection – The Directory: Public-key and attribute certificate frameworks

Appendix B: Document History

Version	Date	Change owner	Note
1.0	2016-12-09	CA Policy Authority	Initial publication
1.1	2017-02-15	CA Policy Authority	Updated contact information
1.2	2017-05-29	CA Policy Authority	Updated certificate operational periods
1.3	2017-09-08	CA Policy Authority	Aligned with new version of CA/B Forum Requirements
1.4	2018-03-08	CA Policy Authority	Aligned with new version of CA/B Forum Requirements
1.5	2018-05-08	CA Policy Authority	Applied changes of CA/B Forum Ballot 220
1.6	2018-10-23	CA Policy Authority	Updated validation methods and revocation timelines
1.7	2019-01-07	CA Policy Authority	Added prohibition of underscore characters in dNSName entries
1.8	2019-05-08	CA Policy Authority	Updated section on Subscribers
1.9	2019-05-14	CA Policy Authority	Aligned with BR version 1.6.5
1.10	2020-06-02	CA Policy Authority	Aligned with BR version 1.7.0
1.11	2020-06-05	CA Policy Authority	Clarified OID requirements in Section 1.2