

## **Particulars and Documents for Application for Recognition (Supplementary Note)**

The following particulars and documents shall be furnished to the Director of Information Technology Services (the Director) under sections 20(3)(a), 22(2) and (10) and 27(4) of the Electronic Transactions Ordinance (Cap. 553) (the Ordinance) when Applicants apply for recognition or for renewal of recognition under the Ordinance. The following list of particulars and documents is supplementary to the list of particulars and documents specified in the Notes to Application Form.

- A. The particulars and documents to be submitted by an Applicant, in paper or electronic form, to the Director in applying for recognition or for renewal of recognition as a recognized certification authority (CA), shall include without limitation:
- (i) organizational structure of the Applicant;
  - (ii) business plan in respect of the CA operation of the Applicant;
  - (iii) description of the CA operation of the Applicant including the generation and management of its own keys, generation and management of its subscribers' keys, issuance, renewal, suspension and revocation of certificates, operation of its repository, and archival of information;
  - (iv) description of the equipment and information system which are used to support the CA operation of the Applicant including:
    - (a) hardware equipment including list of hardware components and schematic diagram of the configuration of the hardware equipment;
    - (b) list of software used including brief description of the functions of the software components and version number;
    - (c) network configuration including network diagram; and
    - (d) location of system and network equipment including the disaster recovery site(s);
  - (v) description of the security policy and security protection of the system, network, Web site and repository which are used to support the CA operation of the Applicant, including measures against unauthorised intrusion, virus and other attacks;
  - (vi) risk management plan in respect of the CA operation of the

Applicant including the handling of the following incidents:

- (a) key compromise;
- (b) security breach of the system or network;
- (c) unavailability of infrastructure; and
- (d) unauthorised generation of certificates and of certificate suspension and revocation information;
- (vii) description of the Applicant's control over personnel in respect of security control, matching of skills and experiences with job requirements, training, performance monitoring, etc. for its CA operation; and
- (viii) the name of the insurance company that provides liability cover to the Applicant in relation to its CA operation.

B. The particulars and documents to be submitted, in paper or electronic form, by an Applicant to the Director in applying for recognition of certificate(s) issued or to be issued by the Applicant, where the application is not made simultaneously with an application for recognition or for renewal of recognition as a recognized CA, shall include without limitation:

- (i) particulars and documents set out in (ii) to (viii) under Section A above if, in relation to the application, the information contained in these particulars and documents have been updated or will be updated against the same particulars and documents which have previously been submitted to the Director.

C. If any of the above particulars and documents are not written in Chinese or English, a translation, in paper or electronic form, thereof in Chinese or English shall be submitted.

D. If any of the above particulars and documents are submitted in electronic form, the submission shall follow the format, manner and procedure stipulated in the notice made by the Secretary for Information Technology and Broadcasting under section 11(2) of the Ordinance on 3 April 2000 and published in the Gazette (G.N. 2106) on 7 April 2000.

**Information Technology Services Department**  
**20 April 2000**