

 <a href="http://WWW.SARS.GOV.ZA">WWW.SARS.GOV.ZA</a>	<b>SARS REGISTRATION AUTHORITY CHARTER</b>
	<b>STANDARD POLICY</b>
	<b>VERSION: 2.0</b>
	<b>EFFECTIVE DATE: 01-08-2015</b>

## Certification Practice Charter

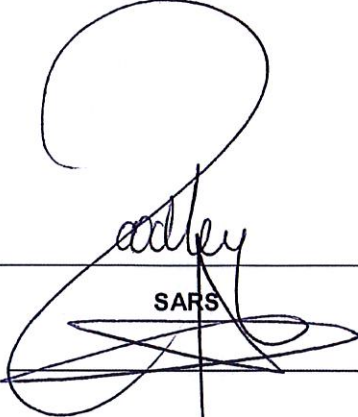
Version 2.0 applicable from the Effective Date

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### SARS

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Nieuw Muckleneuk, PRETORIA, South Africa

Phone +27 (0)12 – 422 4000 • Fax +27 (0)12 – 422 7179  
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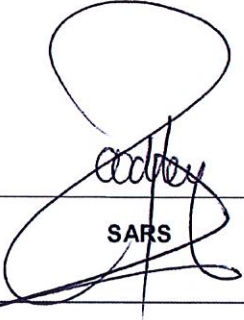

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## Introduction

SARS' vision is to become an innovative revenue and customs agency that enhances economic growth and social development and supports our integration into the global economy in a way that benefits all South Africans.

In order to fulfill this vision, SARS will make increasing use of the Internet and Information systems. SARS, therefore, needs a strong, trusted identity credential used, for example to secure e-mail and provide document signing capability in order for there to be secure and trusted communications between SARS employees, contractors, suppliers and clients anywhere in the world. In order to preserve high levels of confidentiality and integrity in this public medium, and to align with the regulations and provisions of the Electronic Communications and Transactions Act, SARS has chosen to use an internationally established standard in secure communication, namely, the Entrust Public Certification Services.

The terms contained in this Charter are subject to the terms and conditions contained in the LAWtrust Certification Practice Statement (CPS). Combined, this Charter and the LAWtrust CPS specify the digital certification process and provide the required trust in SARS as a digital certificate issuer. All persons are required to adhere to the terms and conditions contained in the LAWtrust CPS as well as any other requirements imposed by SARS that do not conflict with the LAWtrust CPS.


## Scope

This document is part of the SARS Information Security Policy and is applicable to SARS as well as to all parties taking part in the SARS digital certification process. SARS' Information Security Officer is the final authority on all IT Information Security Management related security within the SARS sphere of IT operations.


## Appointment

LAWtrust appoints SARS as a Registration Authority (SARS-RA) to:


1. Accept applications for SARS Certificates.
2. Perform authentication of identities and verification of information submitted by applicants when applying for the issuance of a digital certificate by the LAWtrust2048 CA or LAWtrust2048 CA2 in terms of the provisions of this Charter, which has been approved by the LAWtrust Policy Authority.
3. Where such authentication and verification is successful, submit the request to the LAWtrust2048 CA or LAWtrust2048 CA2, in accordance with the provisions of this Charter and the LAWtrust CPS.



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The SARS-RA is appointed exclusively for the purposes of authenticating the identity and verifying supporting and ancillary information of applicants using the services provided by SARS.

## Document Name and Publication

This document is called the **SARS Registration Authority Charter**. The latest version of the Charter may be accessed at the SARS website <http://www.sars.gov.za> or at the LAWtrust website <https://www.lawtrust.co.za/repository>.

## Domain of Use (Eligibility for Certification)

SARS employees, non-SARS employees and third parties (the subscribers), can be digitally certified under the following conditions:

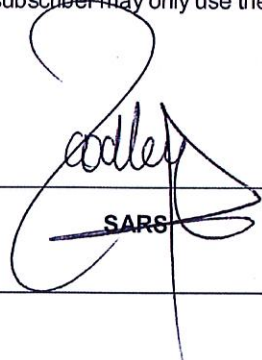
1. The subscriber has an existing or potential business relationship with SARS.
2. The subscriber has a valid e-mail account.
3. The subscriber has a valid cellular phone number.
4. The subscriber is in good standing with SARS.
5. The subscriber is fully aware of the responsibilities regarding the care and use of digital certificates and keys (as contained in the LAWtrust CPS, this Charter and any other SARS governance policies).

## Purpose of Certification

Digital certification is to be used to provide the subscribers with trusted identity credentials for, amongst other uses:


1. Secure e-mail.
2. Digital signature capability to send and receive secure e-mail to and from the Internet.
3. Authentication to SARS business systems (including VPN).
4. File and folder encryption.
5. Digitally sign documents or transactions.

The above will ensure authentication, authorisation, privacy, message integrity and non-repudiation. The subscriber may only use the SARS digital certificate for legitimate business purposes.





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## Ownership of Charter

SARS' Information Security Officer is responsible for the upkeep of this Charter. Changes to this Charter are to be authorised by the SARS Information Security Officer and the LAWtrust Policy Authority.

SARS' Information Security Officer takes full responsibility for the upkeep and content of this Charter, but limits its liability to the use of this Charter as described in the LAWtrust CPS, this Charter and any other SARS governance policies.

The day to day business operations related to certificate lifecycle would be executed by SARS.

The technical operations related to certificate lifecycle would be executed by the SARS Information Security Operations Team.

## Private Key Infrastructure Hierarchy

The trust hierarchy is as follows (SHA-1 Certificates):

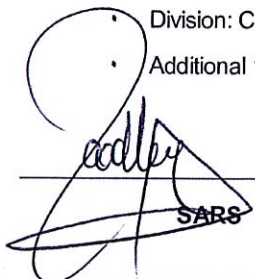
- Entrust.net – Secure Server Certification Authority – Root Certification Authority (RCA)
- LAWtrust2048 CA – Local Certification and Issuing Authority (IA)
- South African Revenue Service RA – Local Registration Authority (LRA)

The trust hierarchy is as follows (SHA-1 Certificates):

- Entrust Root Certification Authority - G2 – Root Certification Authority (RCA)
- LAWtrust2048 CA2 – Local Certification and Issuing Authority (IA)
- Sars ECT RA – Local Registration Authority (LRA)


## Certificate Content

- Common Name (Surname, Middle Initial, First Name)
- E-mail address
- Company : SARS
- Division: Commerce
- Additional 1 Company Name





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- Additional 2 SARS Business Reference Number
- Additional 3 Individual ID Number
- Registration Authority: South African Revenue Service RA or Sars ECT RA
- Issuing Authority: LAWtrust2048 CA or LAWtrust2048 CA2

### Application for a SARS Certificate

The SARS-RA shall be entitled to accept and process applications for natural persons for the issue of a SARS Certificate.

As a minimum the SARS-RA shall require from the applicant:

- A duly completed and signed SARS INF 001 Form approved by a business manager.
- Copy of the applicant's ID, Passport or Driver's License.

The SARS-RA shall retain the application together with all of the documentation relevant to the authentication of the identity of the applicant as well as the verification of supporting information securely, in conformance with the requirements of the LAWtrust Policy Authority, for a period of 3 (three) years after the expiry or revocation of the SARS Certificate.

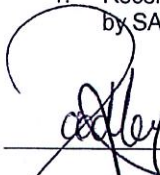
### Process of Enrolment and Request Verification – Non EDI Clients

Online electronic enrolment will be done and the following enrolment fields are compulsory:

1. First name
2. Surname
3. Company Name
4. E-mail address
5. ID Number
6. SARS Business Reference Number

The SARS-RA issuing administrator, who falls under the authority of SARS Operations, will perform the following steps to issue a certificate:

1. Receive a request, which has been authorised by Senior Management or falls within the guidelines set by SARS' Information Security Officer.



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2. Verification of the applicant's identity against a hardcopy of the user's ID, Passport or Driver's License and the submitted SARS INF 001 form.
3. Register the subscriber and create the reference code and authorisation code on the Certificate Management System.
4. Inform the client via e-mail, at the e-mail address supplied on the SARS INF 001 form, that a certificate has been issued. This e-mail will contain the reference code and ID number that will be required to initiate the download of the certificate. The authorisation code that is required to complete the download of the certificate will be sent via SMS to the cell number provided on the SARS INF 001 form.
5. Create and send the SMS and e-mail containing the relevant information.

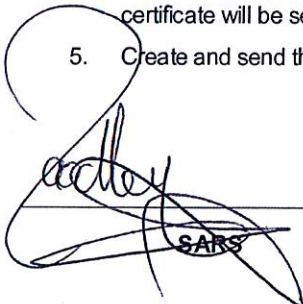
### Process of Enrolment and Request Verification – EDI Clients

Online electronic enrolment will be done and the following enrolment fields are compulsory:

1. First name
2. Surname
3. Company Name
4. E-mail address
5. ID Number
6. SARS Business Reference Number


The SARS-RA issuing administrator, who falls under the authority of SARS Operations, will perform the following steps to issue a certificate:

1. Receive a request, which has been authorised by Senior Management or falls within the guidelines set by SARS' Information Security Officer.
2. Physical verification of the applicant's identity with face-to-face verification against the user's ID, Passport or Driver's License and the submitted DA185.4A6 Form.
3. Register the subscriber and create the reference code and authorisation code on the Certificate Management System.
4. Inform the client via e-mail, at the e-mail address supplied on the DA185.4A6 form, that a certificate has been issued. This e-mail will contain the reference code and ID number that will be required to initiate the download of the certificate. The authorisation code that is required to complete the download of the certificate will be sent via SMS to the cell number provided on the DA185.4A6 form.
5. Create and send the SMS and e-mail containing the relevant information.




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## Certificate Use Verification

- The certificate validity can be verified in the LAWtrust CRL [website: [http://2048crl.lawtrust.co.za/CRL/lawtrust2048\\_ca\\_lawtrust\\_za\\_crfile.crl](http://2048crl.lawtrust.co.za/CRL/lawtrust2048_ca_lawtrust_za_crfile.crl) or [http://2048crl.lawtrust.co.za/CRL/CRL/lawtrust2048\\_ca2\\_lawtrust\\_za\\_crfile.crl](http://2048crl.lawtrust.co.za/CRL/CRL/lawtrust2048_ca2_lawtrust_za_crfile.crl)]
- The SARS Certificates are valid for a maximum period of three years from date of issue.

## Revocation of Certificates

SARS Certificates may be revoked under authority from the SARS Information Security Officer under the following circumstances:

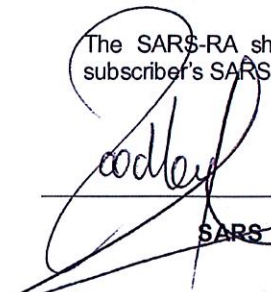
1. Abuse of the digital certificate by the subscriber.
2. Subscriber's request.
3. Subscriber's formal relationship with SARS ends.
4. Subscriber certificate content not valid.
5. The LAWtrust2048 CA or LAWtrust2048 CA2 expires.
6. Loss, compromise, or suspected compromise, of a subscriber's private key or workstation.
7. Subscriber suspected of fraudulent activity.
8. Use of the certificate not in accordance with the LAWtrust CPS.
9. Any other reason that the LAWtrust2048 CA/LAWtrust2048 CA2 or the SARS-RA reasonably believes may affect the integrity, security or trustworthiness of a SARS Certificate.

A SARS Certificate revocation request may be submitted by a subscriber, the SARS-RA or the LAWtrust2048 CA/LAWtrust2048 CA2 if any of the above occurs.

The SARS-RA shall authenticate a request for revocation of a SARS Certificate and upon verification send a revocation request to the LAWtrust2048 CA or LAWtrust2048 CA2.

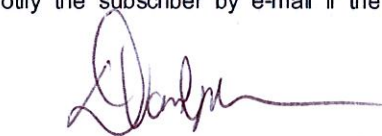
The LAWtrust2048 CA/LAWtrust2048 CA2 shall within 48 hours of receiving a revocation request, post the serial number of the revoked SARS Certificate to the CRL in the LAWtrust repository.

The SARS-RA shall make a commercially reasonable effort to notify the subscriber by e-mail if the subscriber's SARS Certificate is revoked.




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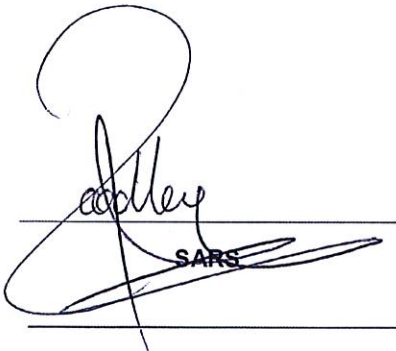
## SARS Certificate Renewal

The SARS Certificate will be renewed on the approach of the expiry date for the certificate. This renewal process will be manually performed by the SARS issuing administrators in cooperation with the LAWtrust certificate administration team. In cases where SARS required bulk renewal of the end user certificates SARS will provide LAWtrust with a list of the user DN's to be renewed. LAWtrust will then verify the account information and perform a bulk renewal on the authorised list of users. The resulting reference numbers and authorisation codes required to download the certificates will be delivered securely to the SARS issuing administrator team in order to distribute to the affected end user in a process as described in the Process of Enrolment and Request Verification sections above.


During the certificate renewal request the subscriber will undergo a re-key and the new public key information will be included in the new certificate.

## SARS-RA Annual Audit

The SARS-RA may be audited once per calendar year for compliance with the practices and procedures set out in this Charter and the LAWtrust CPS. If the results of an audit report recommend remedial action, the SARS-RA shall initiate corrective action within 30 (thirty) days of receipt of such audit report.



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## References

### 1. Legislative References

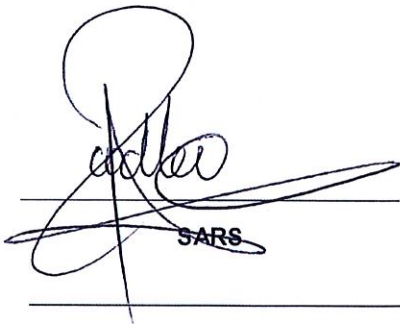
TYPE OF REFERENCE	REFERENCE
Legislation Administered by SARS:	a. All SARS Related Legislation.
Other Legislation:	a. ECTA (Electronic Communications and Transactions Act No.25 of 2002). b. RICA (Regulation against the Interception of Communications Act No.70 of 2002). c. PAIA (Promotion of Access to Information Act). d. The Public Finance Management Act (PFMA). e. NSI Act (National Strategic Intelligence Act No.39 of 1994). f. Protective Disclosure Act.
International Instruments:	a. ISO 17799:2005 & 27001:2005 – Information technology – code of Practice for Information Security Management. b. Information Security Forum's (ISF) Standard of Good Practice.

### 2. SARS Business References

TYPE OF REFERENCE	REFERENCE
SARS Business:	a. SARS INF 001 Form. b. SARS Customs Electronic Communication: User Agreement. c. SARS EDI User Manual.

### 3. LAWtrust References

TYPE OF REFERENCE	REFERENCE
CA Policies:	a. LAWtrust Certificate Practices Statement ( <a href="https://www.lawtrust.co.za/repository">https://www.lawtrust.co.za/repository</a> ).



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