

**WEBTRUST® FOR CERTIFICATION
AUTHORITIES –
EXTENDED VALIDATION AUDIT CRITERIA
Version 1.4**

BASED ON:

CA/BROWSER FORUM

**GUIDELINES FOR
THE ISSUANCE AND MANAGEMENT OF
EXTENDED VALIDATION CERTIFICATES
Version 1.4**

RELEASE DATE: January 31, 2013

*Copyright © 2013 by
Canadian Institute of Chartered Accountants.*

All rights reserved. The Principles and Criteria may be reproduced and distributed provided that reproduced materials are not in any way directly offered for sale or profit and attribution is given.

TABLE OF CONTENTS

	Page
Introduction	iii
WebTrust For Certification Authorities - Extended Validation Audit Criteria	1
PRINCIPLE 1: Certification Authority Extended Validation Business Practices Disclosure	1
PRINCIPLE 2: Service Integrity - The Certification Authority maintains effective controls to provide reasonable assurance that: <ul style="list-style-type: none"> • EV Subscriber information was properly collected, authenticated (for the registration activities performed by the CA, Registration Authority (RA) and subcontractor) and verified; • The integrity of keys and EV certificates it manages is established and protected throughout their life cycles. 	2
Appendix A – CA/Browser Forum Guidelines for Extended Valuation Certificates and Baseline Requirements	A1

This document has been prepared for the use by those auditors recognized as eligible to perform EV audits by the CA/Browser Forum, Certification Authorities, Browsers and users of Extended Validation Certificates.

This document was prepared by the WebTrust Certification Authorities Advisory Group. Members of this Group are:

<p><u>Chair</u> Donald E. Sheehy <i>Deloitte LLP</i></p> <p>Michael Greene <i>Ernst & Young LLP</i></p> <p>Reema Anand <i>KPMG LLP</i></p> <p>Jeffrey Ward <i>Stone Carlie & Company LLC</i></p>	<p><u>Staff Contact:</u> Bryan Walker, <i>Canadian Institute of Chartered Accountants</i></p>
--	--

The Task Force would like to express its appreciation to the contribution of Santhan Raj and Robert Ikeoka KPMG LLP, for their efforts in the preparation of this guide.

INTRODUCTION

1. The growth of internet transactions has emphasized the importance of strong authentication of the identity of web sites, domain owners and online servers. The Certificate Authorities (“CA”) and browser developers have worked together to develop guidelines that create the basis for differentiating certificates which have stronger authentication standards than other certificates. Certificates that have been issued under stronger authentication controls, processes and procedures are called Extended Validation Certificates (“EV Certificates”).

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

2. A working group known as the CA/Browser Forum consisting of many of the issuers of digital certificates and browser developers has developed a set of guidelines that set out the expected requirements for issuing EV certificates. The guidelines entitled “Guidelines for the Issuance and Management of Extended Validation Certificates” (“EV Guidelines”) can be found at <http://www.cabforum.org/>.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

3. CAs and browser developers have recognized the importance of an independent third party audit¹ of the controls, processes and procedures of CAs. Accordingly, the EV Guidelines include a specific requirement for CAs that wish to issue EV certificates.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Don't adjust space between Latin and Asian text, Tab stops: Not at 0.25" + 0.63"

4. The purpose of these WebTrust For Certification Authorities - Extended Validation Audit Criteria (“EV Audit Criteria”) is to set criteria that would be used as a basis for an auditor to conduct an EV audit.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

Adoption

5. Version 1.4 of the CA/Browser EV Guidelines became effective May 29, 2012. The EV Audit Criteria become applicable upon release.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

Navigating Baseline Requirements in an EV audit

6. In 2011 the Forum released Baseline Requirements for the Issuance and Management of Publicly-Trusted Certificates” (Version 1.0) with an effective date of July 1, 2012. An updated version (Version 1.1) became effective September 14, 2012. As noted in the EV Audit Criteria, a number of EV Guidelines are now incorporated by reference to the Baseline Requirements, rather than being detailed in the EV Guidelines themselves. To facilitate the EV audit, however, these requirements continue to be detailed in the EV Audit Criteria. These audit criteria incorporate and make reference to Version 1.0 and Version 1.1 of the Baseline Requirements.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

¹ For the purposes of this document, the term “audit” has been used to describe an assurance engagement in which an auditor (practitioner) expresses a conclusion designed to enhance the degree of confidence on the intended users about the outcome of the evaluation against criteria. This is referred to as an “examination” in some jurisdictions.

Errata

7. The CA/Browser Forum may periodically publish errata that capture changes to the EV Guidelines. In addition, the CA/Browser Forum will periodically modify the EV Guidelines to reflect more substantive changes in a point version (e.g., version 1.4). The auditor would need to consider only the updated approved version. The auditor is not required to consider the errata document.

8. As mentioned, the EV Audit Criteria are to be used only in conjunction with an audit of the Certification Authority as required by the CA/Browser Forum Guidelines. The two audits would normally be conducted simultaneously. For CAs that have successfully (successfully meaning an opinion without reservation issued by an auditor) undergone a WebTrust for CA audit or ETSI TS102 042 v2.1.1 and the report is still current the procedures undertaken by the auditor would only be those that are necessary to examine the added criteria for EV certificates. The currently valid Certification Authorities audit would not need to be updated to a more recent date that would match the date of the EV audit.

9. If the CA does not have a currently valid WebTrust Seal of Assurance for CAs or an ETSI 102 042 audit, then before issuing EV Certificates, the CA and its Root CA must successfully complete either: (i) a point-in-time readiness assessment audit against the WebTrust for CA Program, and (ii) a point-in-time readiness assessment audit against the WebTrust EV Program, or an ETSI TS 102 042 V2.1.1 audit.

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

Formatted: Indent: Left: 0.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.38" + Tab after: 0.63" + Indent at: 0.63", Tab stops: Not at 0.25" + 0.63"

IMPORTANT NOTE Re: Code Signing

Version 1.4 of the CA/Browser Forum's Guidelines for Extended Validation includes Guidelines with respect to Code Signing requirements. Included in these requirements is the necessity to have a WebTrust or ETSI examination. (See Appendix J, paragraph 6). No guidance with respect to this area is included in the attached WebTrust Audit Criteria for Certification Authorities – Extended Validation Certificates Version 1.4.

WEBTRUST FOR CERTIFICATION AUTHORITIES – EXTENDED VALIDATION AUDIT CRITERIA

PRINCIPLE 1: Certification Authority Extended Validation Business Practices Disclosure - The Certification Authority (CA) discloses its Extended Validation (EV) Certificate practices and procedures and its commitment to provide EV Certificates in conformity with the applicable CA/Browser Forum Guidelines.

EV Audit Criteria			
1	<p>The CA and its Root CA discloses² on its website its:</p> <ul style="list-style-type: none"> • EV Certificate practices, policies and procedures, • CAs in the hierarchy whose subject name is the same as the EV issuing CA, and • its commitment to conform to CA/Browser Forum Guidelines for Extended Validation Certificates. <p>(See EV Certificate Guidelines Section 8.2.2)</p>		
2	<p>The Certificate Authority has published guidelines for revoking EV Certificates.</p> <p>(See EV Certificate Guidelines Section 13 that refers to Baseline Requirements Section 13.1.1)</p>		
3	<p>The CA provides instructions to Subscribers, Relying Parties, Application Software Vendors and other third parties for reporting complaints or suspected private key compromise, EV Certificate misuse, or other types of fraud, compromise, misuse, or inappropriate conduct related to EV Certificates to the CA.</p> <p>(See EV Certificate Guidelines Section 13 that refers to Baseline Requirements Section 13.1.2)</p>		
4	<p>The CA and its Root has controls to provide reasonable assurance that there is public access to the CPS on a 24x7 basis. The disclosures must be structured in accordance with either RFC 2527 or RFC 3647.</p> <p>(See EV Certificate Guidelines Section 8.2.2)</p>		

² The criteria are those that are to be tested for the purpose of expressing an opinion on WebTrust for Certificate Authorities - EV Audit Criteria. For an initial “readiness assessment” where there has not been a minimum of two months of operations disclosure to the public is not required. The CA, however, must have all other aspects of the disclosure completed such that the only action remaining is to activate the disclosure so that it can be accessed by users in accordance with the EV Guidelines.

PRINCIPLE 2: Service Integrity - The Certification Authority maintains effective controls to provide reasonable assurance that:

- EV Subscriber information was properly collected, authenticated (for the registration activities performed by the CA, Registration Authority (RA) and subcontractor) and verified;
- The integrity of keys and EV certificates it manages is established and protected throughout their life cycles.

EV Audit Criteria			
	The following criteria apply to both new and renewed EV Certificates.		
	Subscriber Profile		
1	<p>The CA maintains controls to provide reasonable assurance that it issues EV Certificates to Private Organizations, Government Entities, and Business Entities as defined within the EV Certificate Guidelines that meet the following requirements:</p> <p>For Private Organizations</p> <ul style="list-style-type: none"> • the organization is a legally recognized entity whose existence was created or recognized by a by a filing with (or an act of) the Incorporating or Registration Agency in its Jurisdiction of Incorporation or Registration (e.g., by issuance of a certificate of incorporation registration number, etc.) or created or recognized by a Government Agency (e.g. under a charter, treaty, convention, or equivalent recognition instrument);; • the entity designated with the Incorporating or Registration Agency a Registered Agent, or a Registered Office (as required under the laws of the jurisdiction of Incorporation or Registration), or an equivalent facility; • the entity is not designated as inactive, invalid, non-current or equivalent in records of the Incorporating Agency or Registration Agency; • the entity has a verifiable physical existence and business presence; • the entity’s Jurisdiction of Incorporation, Registration, Charter, or License, and/or its Place of Business is not in a country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and • the entity is not listed on a published government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction. <p>(See EV Certificate Guidelines Section 8.5.2)</p> <p>Or</p> <p>For Government Entities</p> <ul style="list-style-type: none"> • the entity’s legal existence was established by the political subdivision in which the entity operates; 		

EV Audit Criteria			
<ul style="list-style-type: none"> • the entity is not in a country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and • the entity is not listed on a government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction. <p>(See EV Certificate Guidelines Section 8.5.3)</p> <p>Or</p> <p>For Business Entities</p> <ul style="list-style-type: none"> • the entity is a legally recognized entity that filed certain forms with a Registration Agency in its Jurisdiction, the Registration Agency issued or approved the entity’s charter, certificate, or license, and the entity’s existence can be verified with that Registration Agency; • the entity has a verifiable physical existence and business presence; • at least one Principal Individual associated with the entity(owners, partners, managing members, directors or officers) is identified and validated by the CA; • the identified Principal Individual (owners, partners, managing members, directors or officers) attests to the representations made in the Subscriber agreement; • the CA verifies the entity’s use of any assumed name, used to represent the entity pursuant to the requirements of Section 11.3; • the entity and the identified Principal Individual (owners, partners, managing members, directors or officers) associated with the entity are not located in a country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and • the entity and the identified Principal Individual (owners, partners, managing members, directors or officers) associated with the entity are not listed on any published government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction. <p>(See EV Certificate Guidelines Section 8.5.4)</p> <p>Or</p> <p>For Non-commercial enterprises (International Organization Entities)</p> <ul style="list-style-type: none"> • the Applicant is an International Organization Entity, created under a charter, treaty, convention or equivalent instrument that was signed by, or on behalf of, more than one country’s government and • the Applicant is not headquartered in any country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and • the Applicant is not listed on any government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction. 			

EV Audit Criteria			
	(See EV Certificate Guidelines Section 8.5.5)		
<u>EV CERTIFICATE CONTENT AND PROFILE</u>			
2	<p>The CA maintains controls to provide reasonable assurance that the EV certificates issued meet the minimum requirements for Certificate Content and profile, including additional technical requirements as specifically established in section 9 of the EV Certificate Guidelines including the following:</p> <ul style="list-style-type: none"> • Issuer Common Name Field • Issuer Domain Component Field • Issuer Organization Name Field • Issuer Country Name Field • full legal organization name and if space is available the d/b/a name may also be disclosed • Subject Alternative Name Extension • Subject Common Name Field • Subject Business Category Field • Subject Jurisdiction of Incorporation or Registration Field • Subject Registration Number Field • Subject Physical Address of Place of Business Field • Other Subject Attributes <p>(See EV Certificate Guidelines Section 9)</p>		
3	<p>The CA maintains controls and procedures to provide reasonable assurance that the EV Certificates issued include the minimum requirements for the content of EV Certificates as established in the EV Certificate Guidelines relating to:</p> <ul style="list-style-type: none"> • EV Subscriber Certificates • EV Subordinate CA Certificates. <p>(See EV Certificate Guidelines Section 9.3.2, 9.3.4 and 9.3.5)</p>		
4	<p>For EV Certificates issued to Subordinate CAs, the CA maintains controls and procedures to provide reasonable assurance that the certificates contain one or more OID that explicitly defines the EV Policies that Subordinate CA supports.</p> <p>(See EV Certificate Guidelines Section 9.3.4)</p>		
5	<p>The CA maintains controls and procedures to provide reasonable assurance that EV</p>		

EV Audit Criteria			
	Certificates are valid for a period not exceeding 27 months. (See EV Certificate Guidelines Section 9.4)		
6	The CA maintains controls and procedures to provide reasonable assurance that the data that supports the EV Certificates is revalidated within the time frames established in the EV Certificate Guidelines. (See EV Certificate Guidelines Section 11.13.1)		
<u>EV CERTIFICATE REQUEST REQUIREMENTS</u>			
7	The CA maintains controls and procedures to provide reasonable assurance that the EV Certificate Request is: <ul style="list-style-type: none"> • obtained and complete prior to the issuance of EV Certificates (See EV Certificate Guidelines Section 10), • signed by an authorized individual (Certificate Requester), • approved by an authorized individual (Certificate Approver) • properly certified as to being true and correct by the applicant, and • contains the information specified in Section 10 of the EV Certificate Guidelines. 		
Subscriber Agreement and Terms of Use			
8	The CA maintains controls and procedures to provide reasonable assurance that Subscriber Agreements: <ul style="list-style-type: none"> • are signed by an authorized Contract Signer, • names the applicant and the individual Contract Signer, and • contains provisions imposing obligations and warranties on the Application relating to <ul style="list-style-type: none"> - the accuracy of information - protection of Private Key - acceptance of EV Certificate - use of EV Certificate - reporting and revocation upon compromise - termination of use of EV Certificate. - responsiveness - acknowledgement and acceptance (See EV Certificate Guidelines Section 10.3 that refers to Baseline Requirements Section 10.3)		

EV Audit Criteria			
<u>INFORMATION VERIFICATION REQUIREMENTS</u>			
Verification of Applicant’s Legal Existence and Identity			
9	<p>The CA maintains controls and procedures to provide reasonable assurance that the following information provided by the Applicant is verified directly by performing the steps established by the EV Certificate Guidelines:</p> <p>Private Organization Subjects</p> <ul style="list-style-type: none"> • legal Existence and Identity • legal Existence and Identity – Assumed Name • organization Name • registration Number • registered agent • relationship to the Parent, Subsidiary, or Affiliate (if applicable) <p>Government Entity</p> <ul style="list-style-type: none"> • legal Existence • entity Name • registration Number <p>Business Entity</p> <ul style="list-style-type: none"> • legal Existence • organization Name • registration Number • principal Individual. • relationship to the Parent, Subsidiary, or Affiliate (if applicable) <p>Non-Commercial Entity</p> <ul style="list-style-type: none"> • International Organization Entities <ul style="list-style-type: none"> 1. legal entities 2. entity name 3. registration number. <p>(See EV Certificate Guidelines Sections 11.1, 11.2,11.3, and 11.11.3)</p>		

Formatted: Indent: Left: 0.31", Bulleted + Level: 1 + Aligned at: 0" + Tab after: 0.24" + Indent at: 0.24", Tab stops: Not at 0.24"

EV Audit Criteria			
Verification of Applicant			
10	<p>The CA maintains controls and procedures to provide reasonable assurance that it verifies the physical address provided by Applicant is an address where Applicant or a Parent /Subsidiary company conducts business operations (e.g., not a mail drop or P.O. box, or 'care of' C/O address, such as an address of an agent of the Organization), and is the address of Applicant's Place of Business using a method of verification established by the EV Certificate Guidelines.</p> <p>(See EV Certificate Guidelines Section 11.4.1)</p>		
11	<p>The CA maintains controls and procedures to provide reasonable assurance that the telephone number provided by the Applicant is verified as a main phone number for Applicant's Place of Business by performing the steps set out in the EV Certificate Guidelines.</p> <p>(See EV Certificate Guidelines Section 11.4.2)</p>		
12	<p>If the Applicant, has been in existence for less than three (3) years, as indicated by the records of the Incorporating Agency or Registration Agency, and is not listed in either the current version of one (1) Qualified Independent Information Source or a Qualified Governmental Tax Information Source, and is not a Subsidiary or Affiliate of an entity that the CA verified as in existence for three or more years, the CA maintains controls to provide reasonable assurance that the Applicant is actively engaged in business by:</p> <ul style="list-style-type: none"> • verifying that the Applicant has an active current Demand Deposit Account with a regulated financial institution, or • obtaining a Verified Legal Opinion or a Verified Accountant Letter that the Applicant has an active current Demand Deposit Account with a Regulated Financial Institution. <p>(See EV Certificate Guidelines Section 11.5)</p>		
13	<p>The CA maintains controls and procedures to provide reasonable assurance that the Applicant's registration or exclusive control of each domain name(s), to be listed in the EV Certificate, satisfies the following requirements using a method of verification established by the EV Certificate Guidelines:</p> <ul style="list-style-type: none"> • the domain name is registered with an Internet Corporation for Assigned Names and Numbers (ICANN)-approved registrar or a registry listed by the Internet Assigned Numbers Authority (IANA). For Government Entity Applicants, the CA MAY rely on the domain name listed for that entity in the records of the QGIS in Applicant's Jurisdiction to verify Domain Name. • the Applicant: <ul style="list-style-type: none"> - is the registered holder of the domain name; or - has been granted the exclusive right to use the domain name by the registered holder of the domain name 		

EV Audit Criteria			
	<ul style="list-style-type: none"> the Applicant is aware of its registration or exclusive control of the domain name. registration information that is publicly available from the WHOIS database is compared with the verified Subject organization information and confirmed to be neither misleading nor inconsistent. <p>(See EV Certificate Guidelines Section 11.6.1, 11.6.2)</p>		
Verification of Other			
14	<p>The CA maintains controls to provide reasonable assurance that it identifies “High Risk Applicants” and undertakes additional precautions as are reasonably necessary to ensure that such Applicants are properly verified using a verification method below:</p> <ul style="list-style-type: none"> the CA may identify high risk requests by checking appropriate lists of organization names that are most commonly targeted in phishing and other fraudulent schemes, and by automatically flagging certificate requests that match these lists for further scrutiny before issuance. the CA shall use information identified by the CA’s high-risk criteria to flag suspicious certificate requests. The CA shall follow a documented procedure for performing additional verification of any certificate request flagged as suspicious or high risk. <p>(See EV Certificate Guidelines Section 11.11.1 that refers to Baseline Requirements 1.0 1.0 Section 11.5)</p>		
15	<p>The CA maintains controls to provide reasonable assurance that no EV Certificate is issued if the Applicant, the Contract Signer, the Certificate Approver or the Applicant’s Jurisdiction of Incorporation, Registration, or place of Business is:</p> <ul style="list-style-type: none"> on any government denied list, list of prohibited persons, or other list that prohibits doing business with such organization or person under the laws of the country of the CA’s jurisdiction(s) of operation; or has its Jurisdiction of Incorporation, or Registration, or Place of Business in any country with which the laws of the CA’s jurisdiction prohibit doing business. <p>(See EV Certificate Guidelines Section 11.11.2)</p>		
Verification of Contract Signer and Approver			
16	<p>The CA maintains controls and procedures to provide reasonable assurance that it verifies, using a method of verification established by the EV Certificate Guidelines:</p> <ul style="list-style-type: none"> the name and title of the Contract Signer and the Certificate Approver, as applicable and verifying that the Contract Signer and the Certificate Approver are agents representing the Applicant; through a source other than the Contract Signer, that the Contract Signer is expressly authorized by the Applicant to enter into the Subscriber Agreement (and any other relevant contractual obligations) on behalf of the Applicant, including a contract that designates one or more Certificate Approvers on behalf of Applicant (“Signing Authority”); 		

EV Audit Criteria			
	<ul style="list-style-type: none"> • through a source other than the Certificate Approver, that the Certificate Approver is expressly authorized by the Applicant to do the following, as of the date of the EV Certificate Request (“EV Authority”) to: <ul style="list-style-type: none"> - submit, and if applicable authorize a Certificate Requester to submit, the EV Certificate Request on behalf of the Applicant; and - provide, and if applicable authorize a Certificate Requester to provide, the information requested from the Applicant by the CA for issuance of the EV Certificate; and - approve EV Certificate Requests submitted by a Certificate Requester. <p>(See EV Certificate Guidelines Section 11.7)</p>		
Verification of EV Certificate requests			
17	<p>The CA maintains controls to provide reasonable assurance, using a method of verification established in the EV Certificate Guidelines that:</p> <ul style="list-style-type: none"> • subscriber Agreements are signed by an authorized Contract signer; • the EV Certificate Request is signed by the Certificate Requester submitting the document • if the Certificate requester is not also an authorized Certificate Approver, an authorized Certificate Approver independently approves the EV Certificate Request unless pre-authorized; and • signatures have been properly authenticated. <p>(See EV Certificate Guidelines Section 11.8 and 11.9)</p>		
18	<p>In cases where an EV Certificate Request is submitted by a Certificate Requester, the CA maintains controls to provide reasonable assurance that, before it issues the requested EV Certificate, it verifies that an authorized Certificate Approver reviewed and approved the EV Certificate Request.</p> <p>(See EV Certificate Guidelines Section 11.9)</p>		
19	<p>The CA maintains controls to provide reasonable assurance that it verifies information sources prior to placing reliance on them using a verification procedure set out in the EV Certificate Guidelines. The verification includes:</p> <ul style="list-style-type: none"> • with respect to legal opinions; <ul style="list-style-type: none"> - the independent status of the author, - the basis of the opinion, and - authenticity. • with respect to accountants letters; <ul style="list-style-type: none"> - the independent status of the author, 		

EV Audit Criteria			
	<ul style="list-style-type: none"> - the basis of the opinion, and - authenticity. • with respect to face-to-face vetting documents; <ul style="list-style-type: none"> - qualification of third-party validator, - document chain of custody, and - verification of attestation. • with respect to independent confirmation from applicant; <ul style="list-style-type: none"> - the request is initiated by the CA requesting verification of particular facts, - the request is directed to a Confirming Person at the Applicant or at the Applicant's Registered Agent or Registered Office using one of the acceptable methods stated by the CA/Browser Forum. - the Confirming Person confirms the fact or issue. • with respect to Qualified Independent Information Sources (QIIS) <ul style="list-style-type: none"> - the database used is a QIIS as defined by the EV Certificate Guidelines 11.10.5). • with respect to Qualified Government Information Sources (QGIS) <ul style="list-style-type: none"> - the database used is a QGIS as defined by the EV Certificate Guidelines 11.10.6. • with respect to Qualified Government Tax Information Source (QGTIS) <ul style="list-style-type: none"> - a Qualified Governmental information source is used that specifically contains tax information relating to Private Organizations, Business Entities or Individuals as defined by the EV Certificate Guidelines 11.10.7. <p>(See EV Certificate Guidelines Section 11.10 and for Certificate Renewals Section 11.13)</p>		
	Validation for Existing Subscribers (previously EV Certificate Renewal Verification Requirements)		
20	<p>In conjunction with an EV Certificate Request placed by an Applicant who is already a customer of the CA, the CA MUST perform all authentication and verification tasks required by these Guidelines to ensure that the request is properly authorized by the Applicant and that the information in the EV Certificate will still be accurate and valid.</p> <p>(See EV Certificate Guidelines Section 11.13)</p>		
	Other Matters		
21	<p>Except for certificate requests approved by an Enterprise Registration Authority ("RA"), the CA maintains controls to provide reasonable assurance that:</p> <ul style="list-style-type: none"> • the set of information gathered to support a certificate request is reviewed for completeness and accuracy by an individual who did not gather such information; • any identified discrepancies are documented and resolved before certificate issuance; 		

EV Audit Criteria			
	<p>and</p> <ul style="list-style-type: none"> • in the case where some or all of the documentation used to support the application is in a language other than the CA's normal operating language, the Final Cross-Correlation and Due Diligence is performed by employees under its control having appropriate training, experience, and judgment in confirming organizational identification and authorization and fulfilling all qualification requirements contained (See Section 29 of the EV Guidelines). When employees do not possess the language skills necessary to perform the Final Cross-Correlation and Due Diligence a CA may: <ul style="list-style-type: none"> - rely on the translations by a Translator or, if an RA is used, the CA must review the work completed by the RA and determine that all requirements have been met. - The CA may rely on the RA to perform the Final Cross-Correlation and Due Diligence, provided that the RA complies with Section 24 and is subjected to the Audit Requirements of Sections 14.1.2 and 14.1.3 as specified in the EV Guidelines. <p>(See EV Certificate Guidelines Section 11.12, 14.1.3, 17)</p>		
22	<p>The CA maintains controls to provide reasonable assurance that it verifies that the Delegated Third Party, involved in the issuance of EV Certificates, meet training, skills, document retention, and event logging requirements.</p> <p>(See EV Certificate Guidelines Section 14.2.1)</p>		
23	<p>The CA maintains controls to provide reasonable assurance that RAs, subcontractors, and Enterprise RAs are contractually obligated to comply with the applicable requirements in the EV Certificate Guidelines and to perform them as required of the CA itself.</p> <p>(See EV Certificate Guidelines Section 14.2)</p>		
<u>CERTIFICATE STATUS CHECKING AND REVOCATION</u>			
24	<p>The CA maintains controls to provide reasonable assurance that the CA includes revocation information for Subordinate Certificates and Subscriber Certificates in accordance with Appendix B of the Baseline Requirements Version 1.1.</p> <p>(See Baseline Requirements 13.2.1)</p>		
25	<p>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. If the CA relies on stapling the CA maintains controls to provide reasonable assurance that:</p> <ul style="list-style-type: none"> • the Subscriber “staples” the OCSP response for the Certificate in its TLS handshake, and • this requirement is enforced on the Subscriber either contractually, through the Subscriber or Terms of Use Agreement, or by technical review measures implement by the CA. 		

EV Audit Criteria			
	(See Baseline Requirements 13.2.1)		
26	The CA maintains controls to provide reasonable assurance that a repository is available 24x7 that enable Internet browsers to check online the current status of all unexpired certificates. (See EV Certificate Guidelines Section 13 and Baseline Requirements 13.2.2)		
27	The CA maintains controls to provide reasonable assurance that: <ul style="list-style-type: none"> • for EV Certificates or Subordinate CA Certificates issued to entities not controlled by the entity that controls the Root CA <ul style="list-style-type: none"> - CRLs are updated and reissued at least every seven (7) days, and the nextUpdate field value is not more than ten (10) days, or - if the CA provides revocation of information via an Online Certificate Status Protocol (OCSP) service, the OCSP service is updated at least every four (4) days, and OCSP responses from this service MUST have a maximum expiration time of ten (10) days. • for subordinate CA Certificates controlled by the Root CA <ul style="list-style-type: none"> - CRLs are updated and reissued at least every twelve (12) months, and (ii) within 24 hours if a Subordinate CA Certificate is revoked, and the nextUpdate field value is not more than twelve (12) months; or - if the CA provides revocation information via an Online Certificate Status Protocol (OCSP) service, the OCSP service is updated at least every twelve (12) months, and within 24 hours if a Subordinate CA certificate is revoked, and the OCSP responses from this service have a maximum expiration time of twelve (12) months. <p>The CA maintains controls to provide reasonable assurance that the CA supports an OCSP capability using the GET method for Certificates issued in accordance with these Requirements. (Effective January 1, 2013).</p> (See EV Certificate Guidelines Section 13 and Baseline Requirements 13.2.2)		
28	For CA that operate only a CRL capability, the CA maintains controls to provide reasonable assurance that an EV certificate chain can be downloaded in no more than 3 seconds over an analog telephone line under normal network conditions. (See EV Certificate Guidelines Section 13)		
29	The CA maintains controls to provide reasonable assurance that the CA can operate and maintain its CRL and OCSP capability to provide a response time of ten seconds or less under normal operating conditions. (See Baseline Requirements 13.2.3)		
30	The CA maintains controls to provide reasonable assurance that Revocation entries on a		

EV Audit Criteria			
	CRL or OCSP are not removed until after the expiration date of the revoked EV Certificate. (See Baseline Requirements 13.2.4)		
31	The CA maintains controls to provide reasonable assurance that the OCSP responses conforms to RFC2560 and/or RFC5019. The OCSP responses must either: <ul style="list-style-type: none"> • Be signed by the CA that issued the Certificates whose revocation status is being checked, or • Be signed by an OCSP Responder whose Certificate is signed by the CA that issued the Certificate whose revocation status is being checked. If so, the OCSP signing Certificate must contain an extension of type id-pkix-ocsp-nocheck, as defined by RFC2560 (See Baseline Requirements 13.2.5)		
32	The CA maintains controls to provide reasonable assurance that OCSP responders do not respond with a "good" status for non issued certificates. (Effective 1 August 2013.) (Baseline Requirements 13.2.6)		
33	The CA maintains controls to provide reasonable assurance that the CA: <ul style="list-style-type: none"> • provides a process for Subscribers to request revocation of their own Certificates. • describes the process in the CA's Certificate Policy or Certification Practice Statement. • maintains a continuous 24x7 ability to accept and respond to revocation requests and related inquiries. (See EV Certificate Guidelines Section 13 and Baseline Requirements 13.1.1)		
34	The CA maintains controls to provide reasonable assurance that the CA provides 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 and publicly discloses the instructions through a readily accessible online means. (See EV Guidelines Section 13 and Baseline Requirements 13.1.2)		
35	The CA maintains controls to provide reasonable assurance that the CA begins investigation of a Certificate Problem Report within twenty-four hours of receipt, and decide whether revocation or other appropriate action is warranted based on at least the following criteria:		

EV Audit Criteria			
	<ul style="list-style-type: none"> • The nature of the alleged problem; • The number of Certificate Problem Reports received about a particular Certificate or Subscriber; • 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 she didn't receive the goods she ordered); and • Relevant legislation. <p>(See EV Guidelines Section 13 and Baseline Requirements 13.1.3)</p>		
36	<p>The CA maintains controls to provide reasonable assurance that the CA maintains 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.</p> <p>(See EV Guidelines Section 13 and Baseline Requirements 13.1.4)</p>		
37	<p>The CA maintains controls to provide reasonable assurance that EV Certificates are revoked on the occurrence of any of the following events:</p> <ul style="list-style-type: none"> • the Subscriber requests in writing that the CA revoke the Certificate; • the Subscriber notifies the CA that the original certificate request was not authorized and does not retroactively grant authorization; • the CA obtains evidence that the Subscriber's Private Key (corresponding to the Public Key in the Certificate) has suffered a Key Compromise, or that the Certificate has otherwise been misused (also see Baseline Requirements 1.0 1.0 Section 10.2.4); • the CA is made aware that a Subscriber has violated one or more of its material obligations under the Subscriber or Terms of Use Agreement; • 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); • the CA is made aware that a Wildcard Certificate has been used to authenticate a fraudulently misleading subordinate Fully-Qualified Domain Name; • the CA is made aware of a material change in the information contained in the Certificate; • 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; 		

EV Audit Criteria			
	<ul style="list-style-type: none"> the CA determines that any of the information appearing in the Certificate is inaccurate or misleading; the CA ceases operations for any reason and has not made arrangements for another CA to provide revocation support for the Certificate; 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; the CA is made aware of a possible compromise of the Private Key of the Subordinate CA used for issuing the Certificate; revocation is required by the CA's Certificate Policy and/or Certification Practice Statement; or the technical content or format of the Certificate presents an unacceptable risk to Application Software Suppliers or Relying Parties (e.g. the CA/Browser Forum might determine that a deprecated cryptographic/signature algorithm or key size presents an unacceptable risk and that such Certificates should be revoked and replaced by CAs within a given period of time). <p>(See EV Certificate Guidelines Section 13 and Baseline Requirements 13.1.5)</p>		
38	<p>The CA maintains controls to provide reasonable assurance that it:</p> <ul style="list-style-type: none"> has the capability to accept and acknowledge Certificate Problem Reports on a 24x7 basis; identifies high priority Certificate Problem Reports; begin investigation of Certificate Problem Reports within 24 hours; decides whether revocation or other appropriate action is warranted; and where appropriate, forwards such complaints to law enforcement. <p>(See EV Certificate Guidelines Section 13 that refers to Baseline Requirements 1.0 Section 13.1.1, 13.1.2, 13.1.3, and 13.1.4)</p>		
39	<p>The CA maintains controls to provide reasonable assurance that ensure the system used to process and approve EV Certificate Requests requires actions by at least two trusted persons before the EV Certificate is created.</p> <p>(See EV Certificate Guidelines Section 16)</p>		
40	<p>The CA maintains controls to provide reasonable assurance that:</p> <ul style="list-style-type: none"> it performs ongoing self audits against a randomly selected sample of at least three percent (3%) of the EV Certificates issued. For all EV Certificates where the final cross correlation and due diligence requirements of Section 24 of the EV Guidelines are performed by an RA, this sample size is increased to six (6%) percent. for new root keys generated after November 11, 2006 for the purpose of issuing EV Certificates, the CA obtained an unqualified report from the CA's qualified auditor 		

EV Audit Criteria			
	opening on the CA's root key and certificate generation process. (See EV Certificate Guidelines Section 17.5 and 17.7)		
41	The CA maintains controls and procedures to provide reasonable assurance that: <ul style="list-style-type: none"> • applicable requirements of the CA/Browser Forum Guidelines for Extended Validation Certificates are included (directly or by reference) in contracts with subordinate CAs, RAs, Enterprise RAs, and subcontractors that involve or relate to the issuance or maintenance of EV Certificates, and • the CA monitors and enforces compliance with the terms of the contracts. (See EV Certificate Guidelines Section 8.3)		
42	The CA maintains controls to provide reasonable assurance that it complies with: <ul style="list-style-type: none"> • laws applicable to its business and the certificates it issues in each jurisdiction where it operates, and • licensing requirements in each jurisdiction where it issues EV certificates. (See EV Certificate Guidelines Section 8.1)		
43	The CA maintains controls and procedures to provide reasonable assurance that: <ul style="list-style-type: none"> • the CA and Root CA maintain the minimum levels of Commercial General Liability Insurance (occurrence form) and Professional Liability/Errors & Omissions insurance as established by the EV Certificate Guidelines, and • the providers of the Insurance coverage meet the ratings qualifications established under the EV Certificate Guidelines, or • If the CA and/or its root CA self-insures for liabilities, the CA and/or its root CA maintains the minimum liquid asset size requirement established in the EV Certificate Guidelines. (See EV Certificate Guidelines Section 8.4)		
<u>EMPLOYEE AND THIRD PARTY ISSUES</u>			
44	With respect to employees, agents, or independent contractors engaged in the EV process, the CA maintains controls to: <ul style="list-style-type: none"> • verify the identity of each person, • perform background checks of such person to confirm employment, check personal references, confirm the highest or most relevant educational degree obtained and search criminal records where allowed in the jurisdiction where the person will be employed, and • for employees at the time of the adoption of the EV Certificate Guidelines by the CA verify the identity and perform background checks within three months of the date of the adoption of the EV Certificate Guidelines. 		

EV Audit Criteria			
	(See EV Certificate Guidelines Section 14.1.1)		
45	<p>The CA maintains controls to provide reasonable assurance that:</p> <ul style="list-style-type: none"> • 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. • Validation Specialists engaged in Certificate issuance SHALL maintain skill levels consistent with the CA's training and performance programs. • The CA SHALL document that each Validation Specialist possesses the skills required by a task before allowing the Validation Specialist to perform that task. <p>The CA SHALL require all Validation Specialists to pass an examination provided by the CA on the information verification requirements outlined in these Requirements</p> <p>(After September 14, 2012) If a Delegated Third Party fulfills any of the CA's obligations under High Risk Requests, The CA maintains controls to provide reasonable assurance that verifies 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.)</p> <p>(See EV Certificate Guidelines Section 14.1.2 and Baseline Requirements Section 14.2.1)</p>		
46	<p>The CA maintains controls to provide reasonable assurance that there is a separation of duties such that no one person can both validate and authorize the issuance of an EV Certificate.</p> <p>(See EV Certificate Guidelines Section 14.1.3)</p>		
47	<p>The CA maintains controls to provide reasonable assurance that Certificate issuance by the Root CA requires that an individual authorized by the CA (i.e. the CA system operator, system officer, or PKI administrator) deliberately issue a direct command in order for the Root CA to perform a certificate signing operation and that Root CA Private Keys are not used to sign EV Certificates.</p>		
<u>DATA AND RECORD ISSUES</u>			
48	<p>The CA maintains controls to provide reasonable assurance that the following EV key and certificate management events are recorded and maintained and the records maintained:</p> <ul style="list-style-type: none"> • CA key lifecycle management events, including: 		

EV Audit Criteria			
	<ul style="list-style-type: none"> - key generation, backup, storage, recovery, archival, and destruction - cryptographic device lifecycle management events. • CA and Subscriber EV Certificate lifecycle management events, including: <ul style="list-style-type: none"> - EV Certificate Requests, renewal and re-key requests, and revocation - all verification activities required by these Guidelines - date, time, phone number used, persons spoken to, and end results of verification telephone calls - acceptance and rejection of EV Certificate Requests - issuance of EV Certificates - generation of EV Certificate revocation lists (CRLs) and OCSP entries. • the CA maintains controls to provide reasonable assurance that following security events are recorded: <ul style="list-style-type: none"> - successful and unsuccessful PKI system access attempts - PKI and security system actions performed - security profile changes - system crashes, hardware failures, and other anomalies - firewall and router activities - entries to and exits from CA facility. • Log entries MUST include the following elements: <ul style="list-style-type: none"> - Date and time of entry - Identity of the person making the journal entry - Description of entry <p>(See EV Certificate Guidelines Section 15 and Baseline Requirements Section 15.2)</p>		
49	<p>The CA and RA maintain controls to provide reasonable assurance that event logs at the CA and RA site are retained for at least seven years.</p> <p>(See EV Certificate Guidelines Section 15 and Baseline Requirements Section 15.3.1)</p>		
50	<p>The CA maintains controls to provide reasonable assurance that all previously revoked certificates and previously rejected certificate requests due to suspected phishing or other fraudulent usage or concerns are recorded in an internally managed database and used to flag suspicious EV Certificate Requests.</p> <p>(See EV Certificate Guidelines Section 15 and Baseline Requirements Section 15.3.2)</p>		
51	<p>The CA has a policy to retain all documentation relating to all EV Certificate Requests and verification thereof, and all EV Certificates and revocation thereof, for at least seven years</p>		

EV Audit Criteria			
	after any EV Certificate based on that documentation ceases to be valid. (See EV Certificate Guidelines Section 15 and Baseline Requirements 15.3.2)		
52	<p>The CA maintains controls to provide reasonable assurance that risks impacting its CA operations over EV certifications are assessed regularly and address the following:</p> <ul style="list-style-type: none"> • identify reasonably foreseeable internal and external threats that could result in unauthorized access, disclosure, misuse, alteration, or destruction of any EV Data or EV Processes; • assess the likelihood and potential damage of these threats, taking into consideration the sensitivity of the EV Data and EV Processes; and • assess the sufficiency of the policies, procedures, information systems, technology, and other arrangements that the CA has in place to control such risks. <p>(See EV Certificate Guidelines Section 16 that refers to Baseline Requirements Section 16.2)</p>		
53	<p>The CA develops, implement, and maintain a Security Plan consisting of security, policies, procedures, measures, and products designed to reasonably manage and control the risks identified during the Risk Assessment.</p> <p>(See EV Certificate Guidelines Section 16 and Baseline Requirements Section 16.3)</p>		

CA/BROWSER FORUM

GUIDELINES FOR EXTENDED VALIDATION CERTIFICATES

BASELINE REQUIREMENTS

To download a copy of the current CA/Browser Forum EV SSL Certificate Guidelines
Version 1.4 and the Baseline Requirements go to:

<http://www.cabforum.org/documents.html>