



# 1. Audit and Assurance

# 1. Audit and Assurance

- **1.1 Why Audit?**
- 1.2 Policies, CCA + R/L/O**
- 1.3 Arbitration**
- 1.4 CARS**
- 1.5 Assurance Policy**
- 1.6 CAP Form**

# 1.1 CAcert and the Audit

- The Requests:  
Roots into the Browsers
- This requires:  
Audit
- Audit requires:  
Policies (we have now)



# 1.1 CAcert and the Audit

## Audit Management Business Areas

1. Assurances (RA)  
(Registration Authority)



2. Systems (CA)  
(Certificate Authority)



# 1. Audit and Assurance

## 1.1 Why Audit?

## ➤ 1.2 Policies, CCA + R/L/O

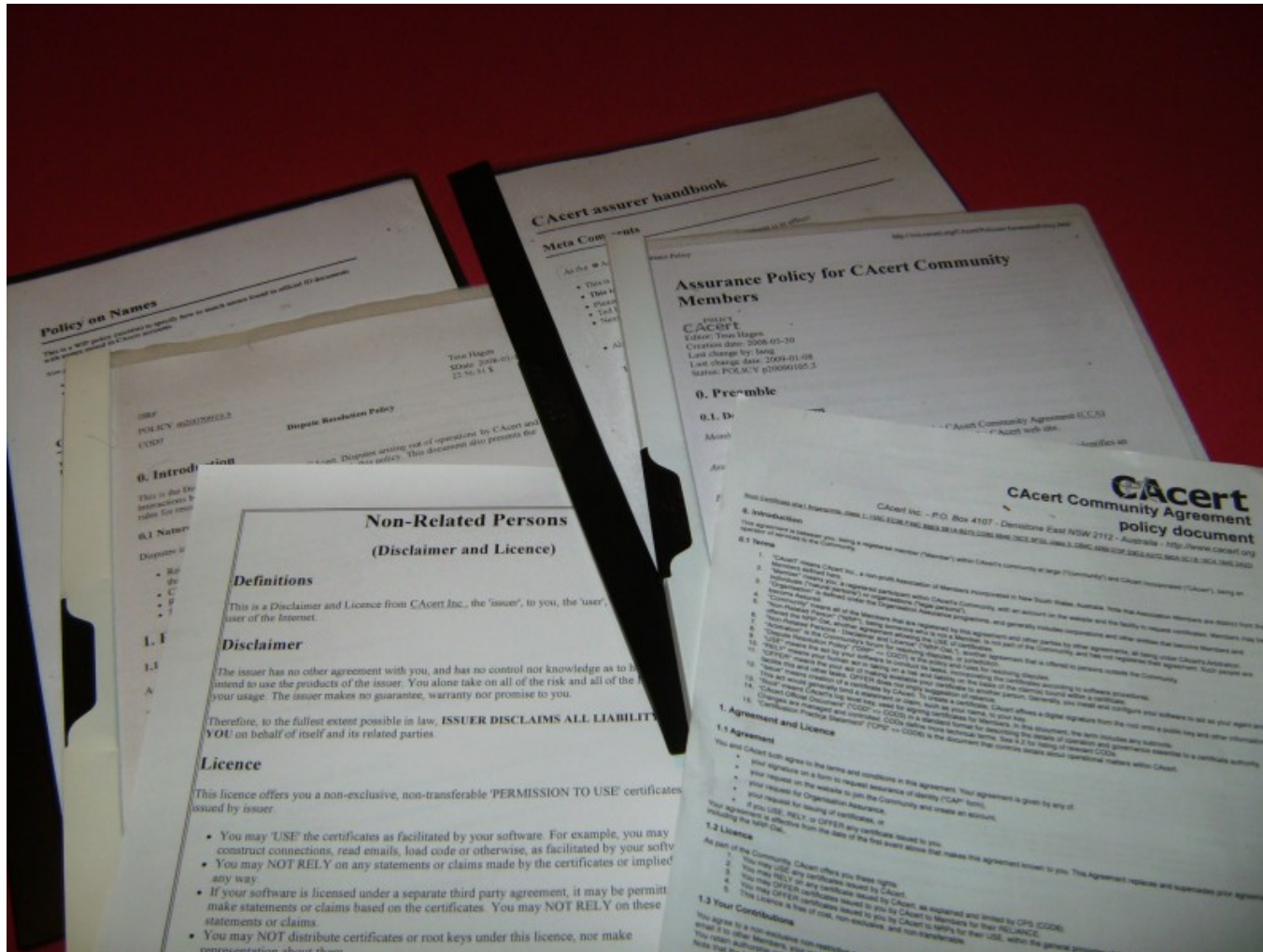
## 1.3 Arbitration

## 1.4 CARS

## 1.5 Assurance Policy

## 1.6 CAP Form

# 1.2 Audit and Assurances - Policies



## 1.2 Audit and Assurances - Policies

- CCA – **C**Acert **C**ommunity **A**greement

- AP - **A**ssurance-**P**olicy  
related documents

- AH **A**ssurance **H**andbook

- PoN **P**ractice **o**n **N**ames

AP Subpolicies

- PoJAM **P**olicy **o**n **J**unior **A**ssurers/**M**embers



- DRP – **D**ispute **R**esolution **P**olicy




## 1.2 Audit and Assurance - CCA

- CAcert follows **DRC** (**D**avid **R**oss **C**riteria)
- Criteria defines disclosure of R/L/O
  - **R**isks
  - **L**iabilities
  - **O**bligations
- Agreement by members to CCA





## 1.2 Audit and Assurance - CCA

- To check by the Assurers
- Risks: You may find yourself subject to Arbitration 
- Liabilities: limited to 1000 € 
- Obligations: to keep primary email in good working order 

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1.1 Why Audit?

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➤ **1.3 Arbitration**

**1.4 CARS**

**1.5 Assurance Policy**

**1.6 CAP Form**

## 1.3 Audit and Assurance - Arbitration

Why we need our own Arbitration?



- To protect the community
- To protect each member
- Arbitration is the fallback option for all unexpected topics
- Problem with international situation

# 1. Audit and Assurance

1.1 Why Audit?

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**1.4 CARS**

**1.5 Assurance Policy**

**1.6 CAP Form**

## 1.4 Audit and Assurance - CARS

- CARS – CAcert Assurer Reliable Statement
- The Assurance Statement is a **CAcert Assurer Reliable Statement** 
- Will be used to reliable transfer information for the audit
- Adopted by the arbitration system

# 1. Audit and Assurance

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➤ **1.5 Assurance Policy**

**1.6 CAP Form**

## 1.5 Audit and Assurance - AP

- AP – Assurance Policy  
defines the process of Assurance
- The purpose of the Assurance  
is the bridge between Policy and Practice
- What do we have to check ?



# 1.5 Audit and Assurance - AP

## Purpose of Assurance

→ The 5 Fingers Rule

1. Member
2. Account
3. Certificate
4. Arbitration
5. (some) Data





# 1.5 Audit and Assurance - AP

## Purpose of Assurance

### 1. Member

The person is a  
bonafide member



# 1.5 Audit and Assurance - AP

## Purpose of Assurance

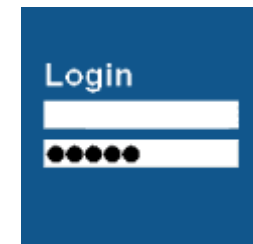
### 2. Account

A member has an account

with a verified email

Question: Do you have an Account?

Question: Primary email?



# 1.5 Audit and Assurance - AP

## Purpose of Assurance

### 3. Certificate

With an account, the member  
can create certificates

If there is a problem,

the unique serial number points to an  
account and ...



# 1.5 Audit and Assurance - AP

## Purpose of Assurance

### 4. Arbitration

therefor the member

can be brought into Arbitration

as long the member has been

bound to Arbitration

by accepting the CCA



# 1.5 Audit and Assurance - AP

## Purpose of Assurance

### 5. Data

Some Data of the member  
is known

- Names
- Email
- Secondary distinguishing feature → DoB



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➤ **1.6 CAP Form**

# 1.6 Audit and Assurance – CAP Form

- AP 4.5 – What has to be on the CAP form?

Date and location of the face-to-face meeting:

Applicant's Identity Information		points allocated
Exact full name on the ID:	(Type of ID shown)	max: 05
Email address:	Date of Birth (yyyy-mm-dd)	

### Applicant's Statement

Make sure you have read and agreed with the CAcert Community Agreement <http://www.cacert.org/policy/CAcertCommunityAgreement.php>

I hereby confirm that the information stating my Identity Information above is both true and correct, and request the CAcert Assurer (see below) to witness my identity in the CAcert Assurance

I agree to the CAcert Community Agreement.

Applicant's signature

### Assurer's Statement

Assurer's Name:

I, the Assurer, hereby confirm that I have verified the Applicant's Identity Information, I will witness the Applicant's identity in the CAcert Assurance Programme, and allocate Assurance Points.

I am a CAcert Community Member, have passed the Assurance Challenge, and have been assured with at least 100 Assurance Points.

Date (yyyy-mm-dd) Assurer's signature

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Geben an, zu welchem Zweck und für welchen Namen Sie die oben genannten bei geeigneter Stelle verbleiben (Schredder oder Feuer!). Kopien der Ausweise des Antragstellers sind zu keinem Zeitpunkt anzufertigen oder aufzubewahren!

Sie können die obere Hälfte des Formulars gerne dem Antragsteller aushändigen, um ihn daran zu erinnern, sich möglicherweise noch zu registrieren. Außerdem ist in der Kopfzeile unser Fingerabdruck vermerkt womit man eine Online-Überprüfung durchführen kann.

### Antragsteller

Namen:	
Geburtsdatum: (JJJJ-MM-TT)	
E-Mail Adresse:	

Hiermit bestätige ich, daß meine obigen Informationen zu meiner Identität korrekt und wahrheitsgemäß sind und bitte den CAcert-Assurer (siehe unten), mich entsprechend der CAcert-Assurance-Policy zu überprüfen.

Hiermit stimme ich den CAcert Community Bedingungen zu. (<http://www.cacert.org/policy/CAcertCommunityAgreement.php>)

Unterschrift des Antragstellers: \_\_\_\_\_ Datum (JJJJ-MM-TT): \_\_\_\_\_

### CAcert-Assurer

Name des Assurers:

Foto-Ausweis vorgelegt: (Ausweistyp, keine Ausweisnummer - z. B. Führerschein, Personalausweis)

1. \_\_\_\_\_

2. \_\_\_\_\_

Ort des persönlichen Treffens: \_\_\_\_\_

Vergebene Punkte: \_\_\_\_\_

Hiermit bestätige ich als Assurer, daß ich das Mitglied entsprechend der CAcert Assurance Policy überprüft habe. Hiermit bestätige ich, daß ich ein Mitglied der CAcert-Gemeinschaft bin, die Assurer Prüfung erfolgreich bestanden habe und mit mindestens 100 Assurance-Punkten überprüft wurde.

Unterschrift des Assurers: \_\_\_\_\_ Datum (JJJJ-MM-TT): \_\_\_\_\_

## 1.6 Audit and Assurance – CAP Form

- AP 4.5 – What has to be on the CAP form?
- „The Magnificent Seven“

Assuree / Applicant

- 1. Name, 2. DoB, 3. Email
- Acceptance 4. CCA, 5. to the Assurance
- 6. Date, 7. Signature



## 1.6 Audit and Assurance – CAP Form

- AP 4.5 – What has to be on the CAP form?
- „The Magnificent Seven“

Assurer

- 1. Name, 2. Points, 3. Assurance Statement
- 4. Location, 5. Date 6. Signature
- (7.) which documents?

# 1.6 Audit and Assurance – CAP Form

- AP 4.5 – If CCA Acceptance is missing?

→ Add by Hand

is being followed correctly. After 7 years if you wish to dispose of this form it's preferred that you shred and burn it. You do not need to retain copies of ID at all.

It's encouraged that you tear the top of this form off and give it to the person you are assuring as a reminder to sign up, and as a side benefit the tear off section also contains a method of offline verification of our fingerprints.

Hiermit stimme ich den CAcert Community v. Bedingungen zu.

<b>Applicant's Statement</b>	
Names:	[Redacted] ✓
Date of Birth: (YYYY-MM-DD)	[Redacted] ✓
Email Address:	[Redacted] ✓
I hereby confirm that the information stated above is both true and correct, and request the CAcert Assurer (identified below) to witness my identity in the CAcert Assurance Programme.	
Applicant's signature: [Redacted]	Date (YYYY-MM-DD): 2009-03-07

<b>CAcert Assurer</b>
Assurer's Name: [Redacted]

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# Questions?