1. Audit and Assurance

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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**
- **1.7 Difference to pure Id checking**

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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)
3.

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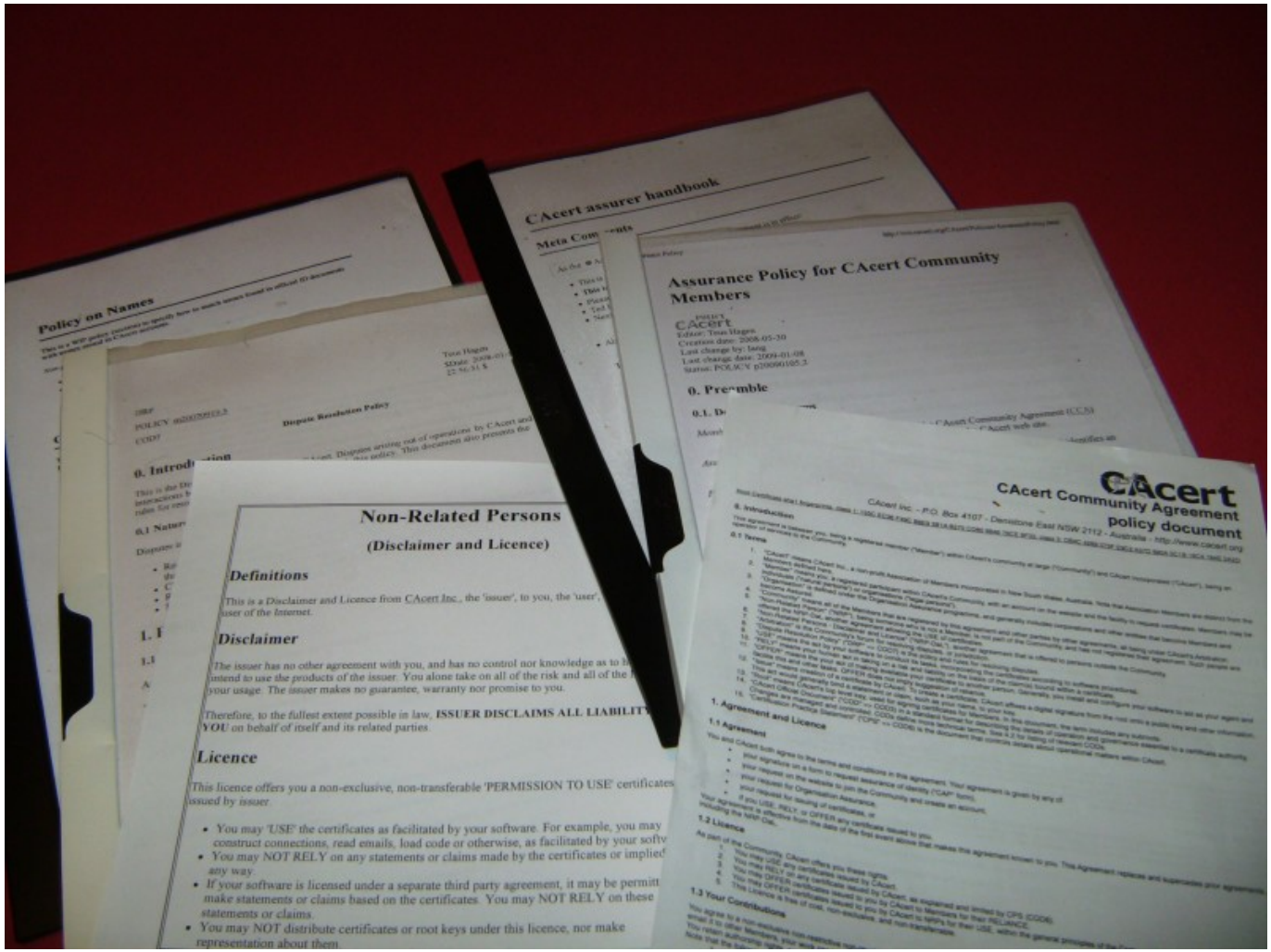
1.2 Audit and Assurances - Policies



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
  - Risks
  - Liabilities
  - Obligations

- 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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1.3 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

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- **1.4 CARS**

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1.4 Audit and Assurance - CARS

- CARS – CAcert Assurer Reliable Statement
- The Assurance Statement is a

  CAcert **A**ssurer **R**eliable **S**tatement

- Will be used to reliable transfer information for the audit
- Adopted by the arbitration system

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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 Rul

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

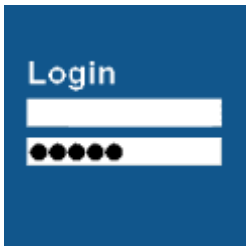
1.5 Audit and Assurance - AP

Purpose of Assurance

2. Account

A member has an account

with a verified email



Question: Do you have an Account?

Question: Primary email?

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

Purpose of Assurance

5. Data

Some Data of the member

is known

- Names
- Email
- Secondary distinguishing feature → DoB

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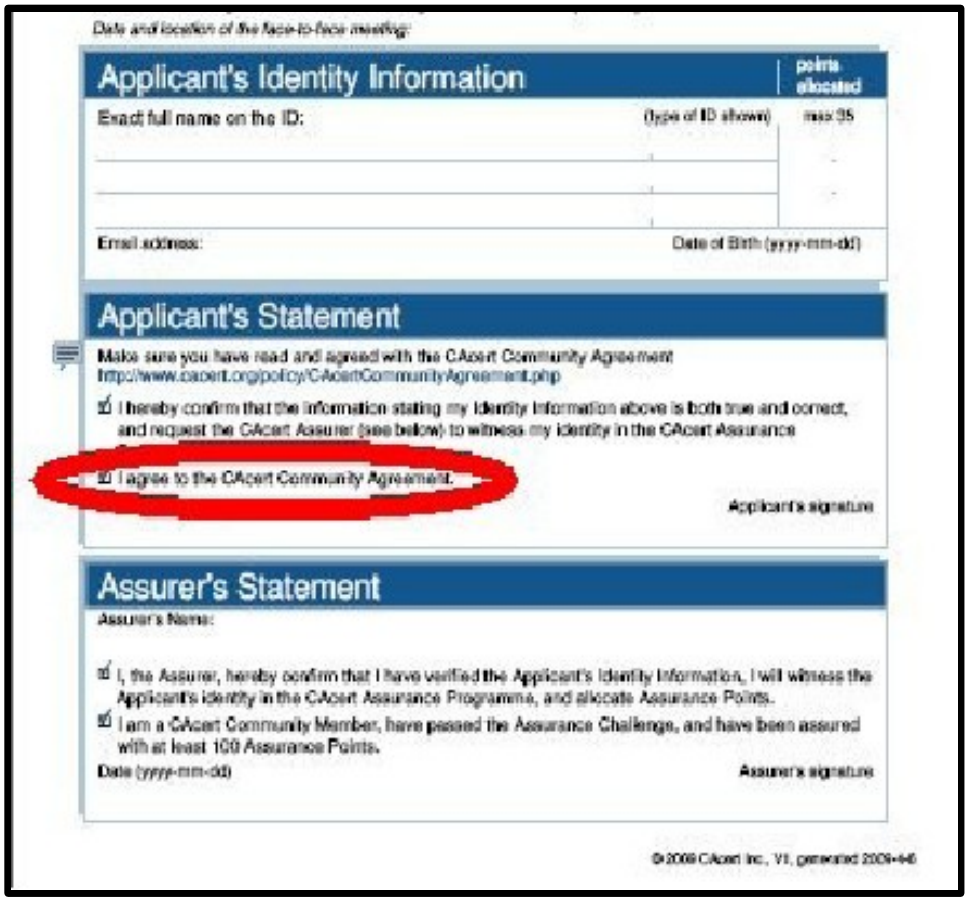
1.6 Audit and Assurance – CAP Form

- 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 35

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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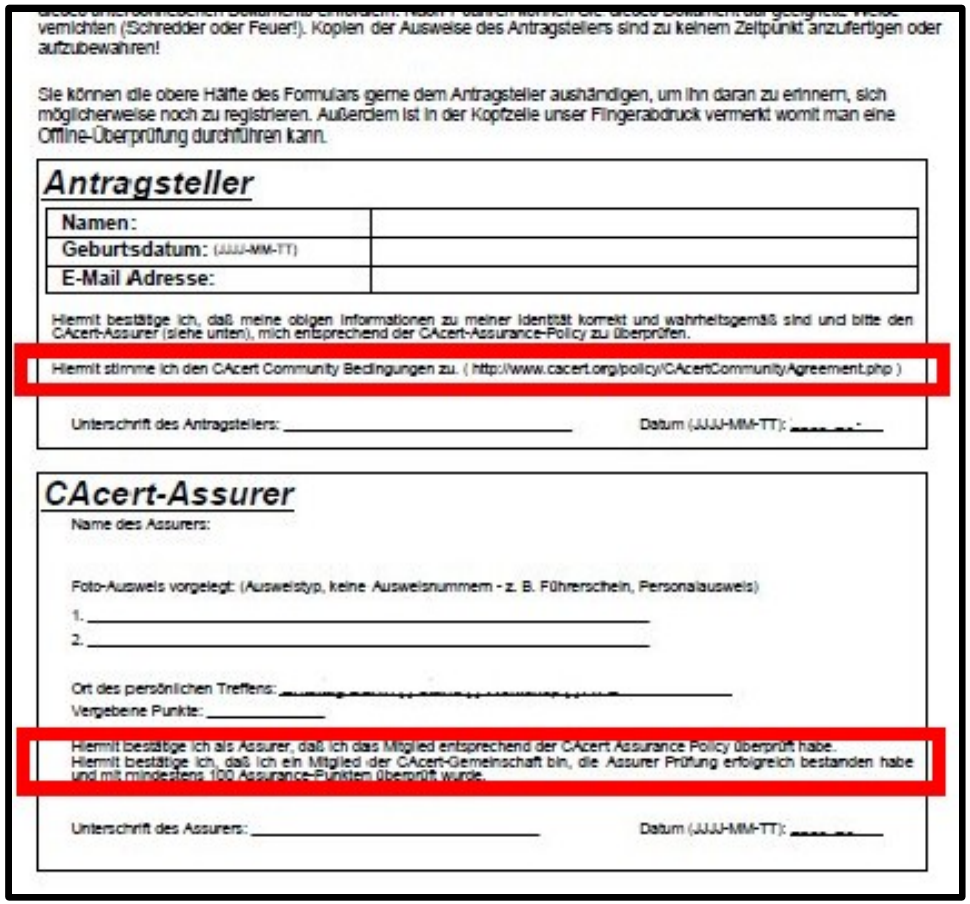


vernichten (Schredder oder Feuer!). Kopien der Ausweise des Antragstellers sind zu keinem Zeitpunkt anzufertigen oder aufzubewahren!

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 Offline-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 Ausweisnummern - 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

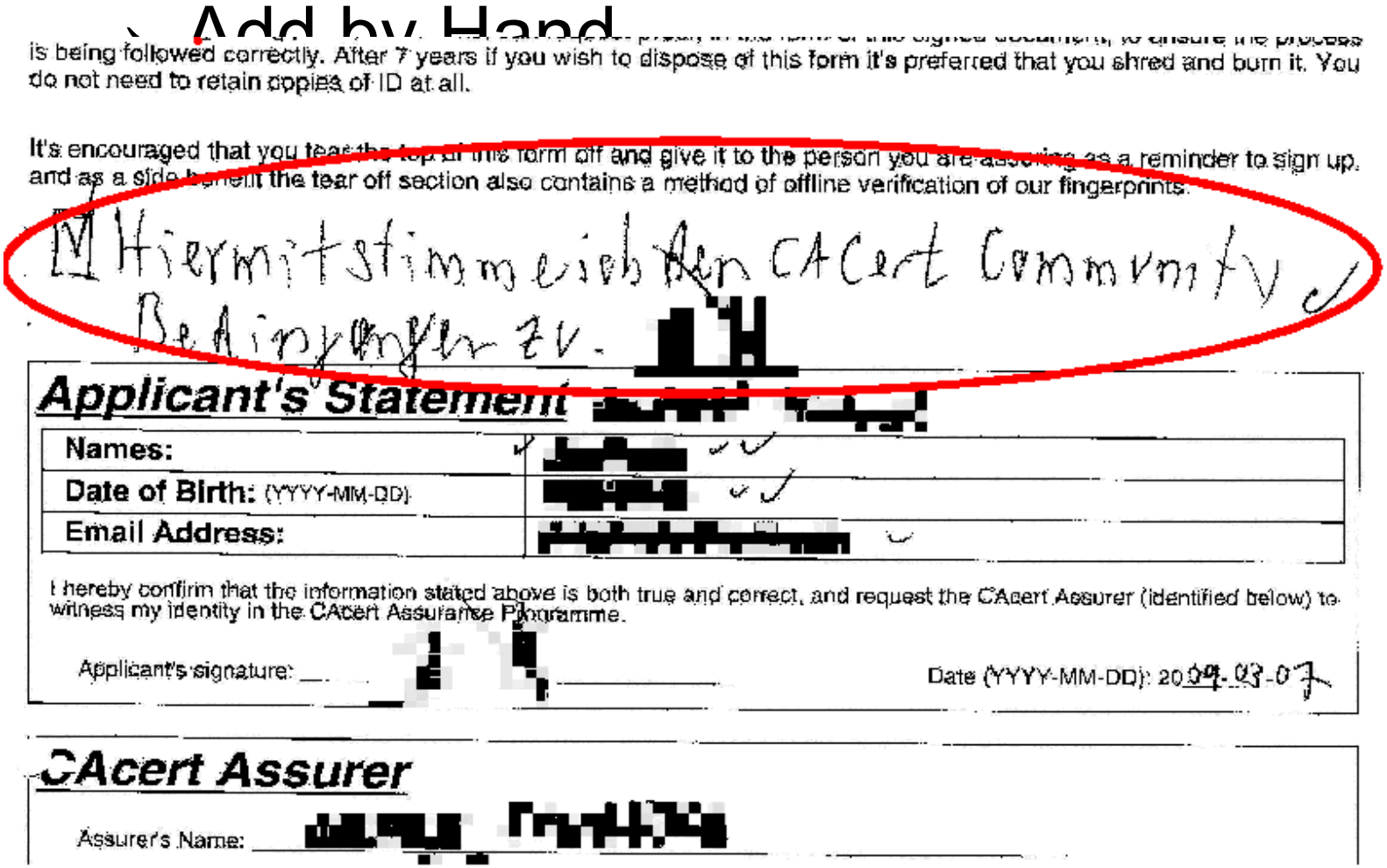
- AP 4.5 – What has to be on the CAP form?
- „The Magnificent Seven“
- Assuree / Applicant
- 1. Name, 2. DoB, 3. Email
- Acceptance 4. CCA, 5. to the Assurance
- 6. Date, 7. Signature

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.

[M] Hiermit stimme ich den CAcert Community Bedingungen zu. [redacted]

Applicant's Statement [redacted]

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

CAcert Assurer

Assurer's Name: [redacted]

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1.6 Audit and Assurance – CAcert Assurance

- What makes CAcert Assurance different to a pure Id checking?

	Thawte Notary	CAcert Assurer
Member		Check for Account
Account		Check primary Email
Certificates		Check Arbitration acceptance
Arbitration		Disclose R/L/O Check CCA acceptance
Some Data	Identity Check	Identity Check

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Questions?

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