CA/Browser Forum Meeting
WebTrust for CA Update

Kanata March 1, 2023
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AGENDA

- “WETSI”
- WebTrust Products CA/B Related
- Additional TF Updates
  - VMC
  - Practitioner Quals
  - Reporting Guidance
  - Registration Authorities
  - Practitioner Requirements
- New Projects
- CPA Canada Update
“WETSI” IN BERLIN 2022

• Potential meeting late 2023
• Issues outsourcing, subservice arrangements, Root inclusion changes as starting point
WEBTRUST PRODUCT CHANGES (CA/B RELATED)

- Network Security
- Baseline
- Code Signing
- Extended Validation
- S/MIME
- COVID-19
CHANGES TO NETWORK SECURITY

- In the past it was included with Baseline engagement creating the WebTrust Baseline + Network Security report
- CAB offerings (Baseline and S/MIME) incorporate the NS requirements by reference
- We have created version 1 of WebTrust for Network Security Principle and Criteria
- Limited to the controls in network security (based on Version 1.7 of NSRs)
- Will have an effective date of July 1, 2023 or thereabouts to allow for changes by Browser systems later in year
- Will also allow for update when new CAB network security guidelines are put in place
- Reporting guidance has been developed
CHANGES TO BASELINE

• First set of changes effective April 1, 2023
• Have incorporated all changes to Forum BR 1.8.6 in WebTrust for Baseline with Network Security Vs 2.7.
• There were 6 sets of changes to Baseline Requirements approved by Forum
• No changes to network security content.
• In the past it was included with Baseline engagement creating the WebTrust Baseline + Network Security report as incorporated by reference in the requirements
CHANGES TO BASELINE

• Second set of changes
• Some new CAB offerings (Code Signing and S/MIME) also incorporate the NS requirements by reference
• With separation of NS we will eventually modify the existing BR+NS to create a standalone WebTrust for Baseline
• Deals only with Baseline requirements, including current disclosure
• Basically represents reporting change and not audit change as Network Security will need to be audited and reported on in any event
• Will be effective date for periods beginning on or after TBD, 2023 to allow for changes by Browser systems
CHANGES TO CODE-SIGNING

First set of changes effective on or after April 1, 2023

• Have incorporated all changes to Forum CS3.2 in WebTrust for Code Signing Vs 3.2
• There were 4 sets of changes including the changes to reflect RFC 3497 approved by Forum
• Incorporate Network Security Requirements by reference as an additional principle as clarified by CAB yesterday.

Second set of changes effective TBD 2023.

• When separate report is issued for NS, separate Principle 4 in same manner as Baseline and S/MIME
CHANGES TO EXTENDED VALIDATION

• Changes effective on or after April 1, 2023
• Have incorporated all changes to Forum EV 1.8 in WebTrust for EV Vs 1.8
• There were 2 sets of changes approved by Forum
NEW PRODUCT
– WEBTRUST FOR S/MIME

- CA/B S/MIME project vs 1.0 approved January 1, 2023, effective September 1, 2023
- WebTrust TF has developed WebTrust Principles and Criteria for Certification Authorities - S/MIME Certificates vs 1.0 effective on or after April 1, 2023
- Audit requirements similar to baseline
- Requires meeting NS by reference – included as separate principle
- Developed criteria as well as audit templates for use by practitioners
- Approved by TF in January 2023
CHANGES TO COVID-19 GUIDANCE

From Covid 19 To Force Majeure Engagements

• 2020 issued practitioner guidance on COVID-19 dealing with areas that might impact auditors and CAs
• Maintained for 2021 and 2022 – no relevant changes needed
• Potential for scope limitations in certain areas caused by inability to physically be onsite
• Provides examples of tools and approaches as best practices
• Provides examples of potential audit reports
• Provided electronically to registered WebTrust practitioners
FROM COVID-19 TO FORCE MAJEURE ENGAGEMENTS

• Permanent guidance to deal with unexpected [catastrophic, government mandated, etc.] Force Majeure events out of the control of client and practitioner that prevent the practitioner (and the client) from being onsite
• Will be issued as separate guidance document and will eventually be added as Appendix to practitioner Guide
• COVID-19 - No current seals and no more expected under this program
• COVID-19 being removed from Website
• Revised project expected completion April 2023
FROM COVID-19 TO FORCE MAJEURE ENGAGEMENTS

Temporary WebTrust Seal

• Can be awarded in a limited circumstance

• All controls tested are ok, but scope limitation exists due to government mandated restrictions

• Good for 6 months – expectation that scope limitation will be eliminated at that point

• Seal is removed once the “clean” opinion is issued, when it is determined a report will be qualified/modified, OR six months, whatever happens first

• If after 6 months no ability to remove issue, seal is removed and report stands – advise report users

• If ability to solve issue and “clean” opinion is issued, remove seal and issue regular WebTrust seal.
ADDITIONAL UPDATES

- Verified Mark Certificates
- Other WebTrust Criteria
- Practitioner Qualifications
- Reporting Guidance
- Registration Authorities
- Practitioner Requirements
- New Projects
CHANGES TO VERIFIED MARK CERTIFICATES

• Changes effective April 1, 2023
• Have incorporated all changes to VMC Requirements 1.4 in WebTrust for VMC 1.4
• There were 3 sets of changes approved by the Authindicators Working Group
UPDATES TO OTHER CRITERIA (IN PROCESS)

WebTrust for CA 2.2.2
- Continue to monitor changes in ISO docs related to PKI
- Some front-end discussion needs to be reworked

WebTrust for RA 1.1
- Some front-end discussion needs to be reworked
- Review changes to relevant CA/B docs that are used
PRACTITIONER QUALIFICATIONS

Provision of additional information requested by Mozilla

• After Working with Mozilla, illustrative template has been developed
• Versions for Canada, US and International reporting
• Some of items have been dealt with in assurance report
• Google may have same request so will look at proposed Google requirements as expected to be very similar
UPDATES TO REPORTING GUIDANCE

Updated Reporting Templates vs 3.0

• Updated to be effective TBD (June 1, 2023 latest)
• Reporting examples for US, Canadian, and International short-form reports
• Reflecting new changes in CPA Canada and IFAC guidance
• Updated to
  • reflect wording changes in reporting Canada and International
  • new S/MIME
• All versions have same reports for consistency
• Correct minor errors
• Will be available on CPA Canada website
NEW PRODUCT
SHORT-FORM RA REPORTS

WebTrust RA was developed in 2020 (due for update)

- Given normal RA to CA relationship detailed controls reporting (or derivative) was expected
- In 2022 there has been initial demand for short-form public report for RA with seal
- Short-form Report templates (similar to WebTrust for CA) have now been developed and are being published
DETAILED CONTROLS REPORTING

• Current version being updated for changes in relevant criteria
• Potential changes in practitioner report and system description based on AICPA changes for SOC 2
• Will NOT be primary report for public seal
• Short form (current report) will be public facing report with seal

Component report template has been developed - A period of time report has been developed – point in time report does not have a section 4

• Section 1- Overall audit results (opinion)
• Section 2- Management assertion
• Section 3- Description criteria (includes system description)
• Section 4- Detailed testing performed and results thereof
• Section 5 – Unaudited Information, such as Management comments
WEBTRUST REPORTS AVAILABLE – FULL LIFECYCLE

• Rootkey Generation Ceremony Report (Birth Certificate)
• Key Protection (Provides assurance that once a key is created and up to the point it is moved into production, it was properly safeguarded), Key Transportation, Migration & Destruction
• Point In Time (As of date for testing the design and implementation of controls)
• Period of Time (Same as Point in Time, but also tests transactions over a period between 2-12 months to ensure controls are operating effectively)
NEW PROJECTS

Outsourcing Issues – Carveout of Subservice organization controls

• Dealing with issue as to whether carve-out reports will be permitted and ramifications thereof
• Should they only be allowed in lower-risk scenarios?
• Really WebTrust report?
• Seal Issues
• Usefulness of carve-out reports?
• Ability to obtain alternative reports on carved-out processes?

• Preliminary views at this point
  • NO carveouts to be done at current time per Browsers
  • Inclusive approach to be followed for audit and reporting
  • When CAB reached decisions on controls and processes that can be outsourced will re-assess
  • Will also reach out to other audit schemes for discussion
  • Project has been parked until cloud and other issues dealt with
PRACTITIONER GUIDANCE FOR AUDITORS

Practitioner guidance for auditors

- Version combines US, Canada and International
- New US reporting material on direct engagements being addressed
- New SOC material being analyzed for impact
- Looking at availability of new controls based on COVID experience
- Additional specific browser requirements being considered
- Browser and delegated WebTrust member to work together to fully develop use of software and IT audit techniques on data base information
- Inclusion of Force Majeure being considered as appendix
NEW PROJECTS

WebTrust for CA Supporting X9

- X9 is a standard setting organization for financial institutions and supporting organizations
- X9 has identified a long list of PKI use cases in the financial sector
- A base CP has been developed and creating a business plan to use WebTrust in the compliance requirements

WebTrust Supporting IoT Programs

- A number of smaller IoT programs require a WebTrust engagement for admission
- Evaluating other programs and the use of external service providers
WEBTRUST UPDATE

- Task Force Changes
- Practitioners Update
- Certification Authority Locations
WEBTRUST TASK FORCE MEMBER CHANGES

February 2023

• Tim Crawford from BDO US elected new co-Chair to the Task Force effective January 2023
• Dave Chin representing CPA Canada as co-Chair
• Don Sheehy, continues to support CPA Canada
• New member to the Task Force Adam Fiock representing BDO US
WEBTRUST KEY PLAYERS

• CPA Canada
  Anna–Marie Christian  
  Dave Chin (Co-Chair)  
  Lilia Dubko  
  Reza Harji

• Consultant to CPA Canada
  Don Sheehy

• Task Force Members
  Tim Crawford  BDO (Co-Chair)  
  Eric Lin  EY  
  Zain Shabbir  KPMG  
  Donoghue Clarke  EY  
  Chris Czajczyc  Deloitte  
  Dan Adam  
  Adam Fiock  BDP
ENROLLED WEBTRUST PRACTITIONERS: INTERNATIONAL

- Anthony Kam & Associates Ltd., Certified Public Accountants
- Audit CPA (Columbia)
- Audit Trust Services S.A.S
- AUREN
- Baker Tilly MH Consulting Sdn Bhd
- Kap Tanubrata Susanto Tahmi Bambang Dan Rekan
- BDO*
- Crowe FST Audit Ltd.
- Deloitte*

- Digital Age Strategies Pvt Ltd
- Grant Thornton LLP
- KPMG*
- Moreira Associados Auditores Independentes
- PKI Contablidade e Auditoria Ltda
- PricewaterhouseCoopers*
- Richter LLP
- RSM Hong Kong
- Schellman & Company, LLC
- Sun Rise CPAs’ Firm

*Firm includes multiple international legal entities
WebTrust worldwide coverage in Orange
CPA CANADA UPDATES

WebTrust Website
- Change Covid to Force Majeure
- Illustrative report updates
- Principle and Criteria version updates

Practitioner Portal
- New for F2024
  - Practitioner Secure login
  - Annual testing

New Seals
- S/MIME April 2023
- Network Security March 2023
- Registration Authority 2023
- Qualified Unhappy Seal TBD

Additional Updates
- Hosting of qualified and historical reports
- Reviewing existing business model
THANK YOU

QUESTIONS?