

## **GUIDELINES for the PROCESSING of EXTENDED VALIDATION CERTIFICATES**

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## 1. Foreword

The Guidelines for the Processing of Extended Validation Certificates contain recommendations, established by the CA/Browser Forum, for processing and rendering the results of extended validation in Internet applications. These Guidelines may be revised from time to time, as appropriate, in accordance with procedures adopted by the CA/Browser Forum. Questions concerning these guidelines or suggestions for their improvement may be directed to the CA/Browser Forum at

questions@cabforum.org.

## 2. Scope

Extended validation establishes minimum requirements for the issuance and management of certificates for organizations of various types. It describes processes for validating certificate contents prior to issuance, and requirements for the operation and audit of certification authorities.

This document contains recommendations for application developers who rely on extended validation certificates.

## 3. Normative references

[ISSU] "Guidelines for the Issuance and Management of Extended Validation Certificates", v1.1, CABForum, April 2008. Available at:  
<http://www.cabforum.org/documents.html>.

[RFC 5280] D. Cooper, "Internet X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL) Profile", RFC 5280, May 2008.

## 4. Terms and definitions

**Application developer** - A software maker whose product relies upon public-key certificates by embedding the root public key of one or more certificate service providers.

**Certificate service provider (CSP)** - A certification authority whose relying parties take no special software installation or configuration steps to establish reliance, e.g. a commercial CA or government CA.

**Extended validation** - The process of certificate issuance and management defined in [ISSU].

## 5. Introduction

The CABForum has defined minimum requirements for the issuance and management of certificates [ISSU]. These requirements establish a minimum level of assurance in the information contained in a properly validated certificate. Certificates issued in accordance with these requirements are called Extended Validation certificates. In order to achieve the expected level of assurance in the certificate contents, the relying

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application also has to satisfy certain requirements. Those requirements are laid out in this document.

## **6. Identifying EV entities**

### ***6.1. Identifying an EV CSP***

An application developer shall recognize a CSP that is qualified to issue EV certificates by means of the CSP's audit report. The application developer must check that the report was issued by an auditor certified to conduct audits in accordance with an acceptable audit program. The report must be current and it must identify no outstanding deficiencies.

These checks must be repeated upon expiry of the audit report. It is common for an auditor to take several months to issue his or her report following completion of the audit engagement. Therefore, application developers should communicate with a CSP around the time of expiry, in order to confirm that the CSP is taking the steps necessary to maintain its EV status.

Where the CSP has not operated an EV service for the minimum amount of time required by the audit program, the application developer should accept a pre-issuance readiness audit in place of an audit report.

### ***6.2. Identifying an EV certificate***

An EV certificate is distinguishable from a non-EV certificate by the presence of a distinct certificate policy identifier. Each CSP has its own EV policy identifier. The policy identifier for a particular CSP must be confirmed by reference to the CSP's certificate policy or certification practices statement.

## **7. Root-embedding program**

Application developers that intend to rely upon EV certificates issued by CSPs should implement the following procedures.

### ***7.1. Notification***

The application developer should announce its intention in a message sent to the following email address:

questions@cabforum.org

### ***7.2. Agreement***

It is recommended that the application developer enter into an agreement separately with each CSP. These agreements should offer equivalent protections to all relying parties. The agreements should formalize the rights and obligations of the application developer and the CSP, and define the governing law and jurisdiction for dispute resolution.

### ***7.3. Process description***

The agreement should describe the following:

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- a) The application developer's public-key inclusion process
  - b) The application's root distribution process
  - c) General requirements on the CSP
  - d) Documentation requirements on the CSP
  - e) Technical requirements on the CSP
  - f) The process for replacing a CSP public key (if applicable)

#### **7.4. Communication**

The agreement should describe the expected sequence and method of communication between the application developer and the CSP (for example: receipt confirmation, status updates, requests for additional information, etc. will be communicated: by e-mail, by online forum, by bulletin board, etc.).

#### **7.5. Schedule**

The agreement should describe the general schedule, time-frame and deadlines for each milestone of the CSP root-embedding process. Note: this should not commit the application developer to specific dates or time periods; it should merely provide general guidance on:

- g) The interval on which new CSP roots enter the process (for instance: monthly, on an on-going basis, etc.)
- h) The typical duration of the complete process
- i) Deadlines (for instance: code freezes prior to release, etc.)
- j) The distribution schedule for accepted roots (for instance: monthly, with new releases, etc.)

#### **7.6. Membership**

The application developer should publicly post a list of the CSPs that are currently participating in its program (i.e. CSPs whose public keys have been accepted and that are, or will be, relied upon).

#### **7.7. Software Verification**

CSPs that offer EV certificates are required to provide a mechanism for application developers to test their certificates. Application developers should make full use of this mechanism to verify the correct operation of their application.

### **8. CSP Public-Key Integrity Protection**

Relying applications must provide adequate protection against malign threats to the integrity of the application code and the CSP root.

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## 9. Certificate Validation

The relying application shall validate the certificate in accordance with [RFC 5280] Section 6. The application shall grant the EV treatment (see Section 13, below) only to certificates that validate successfully.

## 10. Cryptographic Algorithms and Minimum Key Sizes

The relying application must be capable of processing the cryptographic algorithms and key sizes listed in [ISSU], with the additional specification that the effective key strength of symmetric algorithms must be at least 128 bits. The relying application should not grant the EV treatment (see Section 13, below) to certificates whose algorithms and keys do not conform to these requirements.

## 11. Certificate Contents

Relying application should be capable of processing the certificate fields and extensions containing subject attributes that are described in [ISSU].

With the exception of the Subject OU attribute, the application should treat all certificate contents as trustworthy. CSPs may populate the Subject OU attribute with unverified information. Therefore, the Subject OU attribute should not be treated as trustworthy.

## 12. Revocation Checking

Applications must confirm that the EV certificate has not been revoked before accepting it. Revocation checking must be performed in accordance with [RFC5280]. Certificates for which confirmation cannot be obtained must not be granted the EV treatment (see Section 13, below).

The application should support both CRL and OCSP services. For HTTP schemes, the application may use either the GET or POST method. If the application cannot obtain a response using one service, then it should try all available alternative services.

The application should follow HTTP redirects and cache-refresh directives.

Response time-out should not be less than three seconds.

## 13. EV Treatment

In cases where the relying application accepts both EV and non-EV certificates, it is recommended that the application's behavior differ in a distinct way for each type of certificate. Application developers should consider the EV treatment offered by other application developers that also recognize EV certificates and, where practical, provide consistent treatment.

## 14. Security considerations

There are numerous security considerations related to the processing of certificates and reliance on their contents. Here, we confine ourselves to those matters that are specific to EV certificates.

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Perhaps the most serious threat to the security of extended validation is the possibility that any one of the CSPs upon which the application relies fails to conform, or maintain conformance with, the EV requirements for issuance and management [ISSU]. The main safeguard against this possibility is the CSP audit. Therefore, it is important that the application developer confirm that the CSP's audit is current, identifies no deficiencies and was conducted by a properly qualified auditor. The audit should provide a level of assurance equivalent to that of a WebTrust for CAs EV audit. See:

[http://www.webtrust.org/index.cfm/ci\\_id/43988/la\\_id/1.htm](http://www.webtrust.org/index.cfm/ci_id/43988/la_id/1.htm)

## **15. Conclusion**

Not all certificates are equally trustworthy. Their trustworthiness depends upon the strength of their cryptographic protection. But, it also depends on the policies and practices used in their issuance and management. Historically, relying parties have been required to assess the suitability of a CSP's policies and practices for the intended usage. In 2007 (and with later revisions) public CSPs agreed to a common set of policies and practices that establish a minimum level of assurance deemed suitable for common Internet purposes, such as eCommerce and eGovernment. Achieving the intended level of assurance also requires proper behavior by the relying application. This document lays out appropriate requirements on the relying application.