ETSI CA LIFE CYCLE COVERAGE

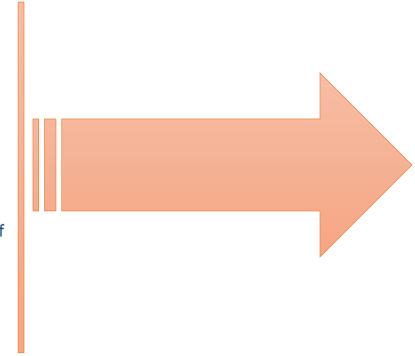ETSI / ACAB'c

ETSI CA LIFE CYCLE COVERAGE

CA operation

Start

1st full ETSI Audit
before operations start
similar to PIT readiness audit

[Audit Attestation]
only issued on successful audit
= no BASE report will be issued if
there is a [NCA]
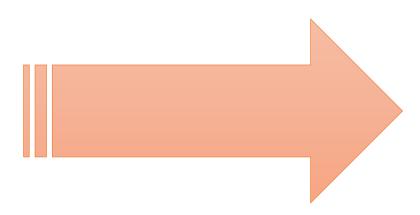
ETSI CA LIFE CYCLE COVERAGE

CA operation

Start

1st full ETSI Audit
before operations start
similar to **PIT** readiness audit

[Audit Attestation]
only issued on successful audit
= no BASE report will be issued if
there is a [NCA]

Year 1

2nd full ETSI Audit
before end of year 1
covers time since last full audit = **POT**

[Audit Attestation]
only issued on successful audit
= no NCA in BASE reports

ETSI CA LIFE CYCLE COVERAGE

CA operation

Start | Year 1 | Year 2 | Year 3

1st full ETSI Audit
before operations start
similar to **PIT** readiness audit

[Audit Attestation]
only issued on successful audit
= no BASE report will be issued if
there is a [NCA]

2nd full ETSI Audit
before end of year 1
covers time since last full audit = **POT**

[Audit Attestation]
only issued on successful audit
= no NCA in BASE reports

3rd full ETSI Audit
before end of year 2
covers time since last full audit = **POT**

[Audit Attestation]
only issued on successful audit
= no NCA in BASE reports

4th full ETSI Audit

... and so on!

ETSI AUDIT REPORTING

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ETSI AUDIT REPORTING

BASE REPORTS

Type	Name	Goal	Consignee	Dependencies	Frequency
BASE	[Audit Report on ETSI EN 319 411-1]	founding base for SUMMARY report	CA = confidential report	• incorporates - ETSI EN 319 401 and - Baseline requirements and/or - Extended Validation Guidelines • contains all details on CA non conformities • handed out to CA as detailed audit documentation	yearly, full normative coverage
	[Audit Report on ETSI EN 319 411-2]* * If the CA issues QWACs according to eIDAS	founding base for SUMMARY report covers additional EU requirements for QWACS certs	CA = confidential report	• incorporates - ETSI EN 319 411-1 and - ETSI EN 319 401 - Baseline requirements and/or - Extended Validation Guidelines • contains all details on CA non conformities • handed out to CA as detailed audit documentation	yearly, full normative coverage

BASE
[ETSI AUDIT REPORTS]

ETSI AUDIT REPORTING
SUMMARY REPORT

Type	Name	Goal	Consignee	Dependencies	Frequency
SUMMARY	[Audit Attestation]	audit summary to complete "Root Program Audit" requirements	Browsers = public report	• incorporates - Root Store Policies • builds upon positive BASE reports • issued only on positive BASE reports • does not contain details on CA non conformities • handed out to CA to serve Browser requirements as summary	yearly, full normative coverage

SUMMARY
[AUDIT ATTESTATION]

BASE
[ETSI AUDIT REPORTS]

ETSI AUDIT REPORTING
DEVIATION REPORT

Type	Name	Goal	Consignee	Dependencies	Frequency
DEVIATION	[NC Remediation Report]	audit of remediated non conformities (NC) formerly noted in BASE repots	CA = confidential report	any report listing NC of the kind - ETSI EN 319 411-2 - ETSI EN 319 411-1 - ETSI EN 319 401 - Baseline requirements and/or - Extended Validation Guidelines	latest three month after audit with NC discovered

ETSI AUDIT FINDINGS

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ETSI AUDIT FINDINGS

(used in **BASE** reports; one NC per failed requirement)

Type	Content	Meaning
[OK]	Okay	Requirement fulfilled

ETSI AUDIT FINDINGS

(used in **BASE** reports; one NC per failed requirement)

Type	Content	Meaning
[OK]	Okay	Requirement fulfilled
[NCA]	MAJOR non conformity	Critical requirement NOT or NOT completely fulfilled. Must be completely addressed BEFORE [Audit Attestation] can be issued. = [Audit Attestation] can NOT be issued yet. Non conformities of type [NCA] must be successfully re-audited prior to issuance of the [Audit Attestation].

ETSI AUDIT FINDINGS

(used in **BASE** reports; one NC per failed requirement)

Type	Content	Meaning
[OK]	Okay	Requirement fulfilled
[NCA]	MAJOR non conformity	Critical requirement NOT or NOT completely fulfilled. Must be completely addressed BEFORE [Audit Attestation] can be issued. = [Audit Attestation] can NOT be issued yet. Non conformities of type [NCA] must be successfully re-audited prior to issuance of the [Audit Attestation].
[NCB]	MINOR non conformity	Non critical requirement NOT or NOT completely fulfilled. Must be completely addressed WITHIN 3 month after audit. = [Audit Attestation] can be issued. Non conformities must be successfully re-audited prior to the end of the three month period. Re-Audit results in [NC Remediation Report].

ETSI AUDIT FINDINGS

(used in **BASE** reports; one NC per failed requirement)

Type	Content	Meaning
[OK]	Okay	Requirement fulfilled
[NCA]	MAJOR non conformity	Critical requirement NOT or NOT completely fulfilled. Must be completely addressed BEFORE [Audit Attestation] can be issued. = [Audit Attestation] can NOT be issued yet. Non conformities of type [NCA] must be successfully re-audited prior to issuance of the [Audit Attestation].
[NCB]	MINOR non conformity	Non critical requirement NOT or NOT completely fulfilled. Must be completely addressed WITHIN 3 month after audit. = [Audit Attestation] can be issued. Non conformities must be successfully re-audited prior to the end of the three month period. Re-Audit results in [NC Remediation Report].
[REC]	Recommendation	Requirement fulfilled, but amendments recommended. Must be addressed within one year after audit. Will become [NCB] if not addressed within one year.

ETSI AUDIT FINDINGS

(used in **BASE** reports; one NC per failed requirement)

Type	Content	Meaning
[OK]	Okay	Requirement fulfilled
[NCA]	MAJOR non conformity	Critical requirement NOT or NOT completely fulfilled. Must be completely addressed BEFORE [Audit Attestation] can be issued. = [Audit Attestation] can NOT be issued yet. Non conformities of type [NCA] must be successfully re-audited prior to issuance of the [Audit Attestation].
[NCB]	MINOR non conformity	Non critical requirement NOT or NOT completely fulfilled. Must be completely addressed WITHIN 3 month after audit. = [Audit Attestation] can be issued. Non conformities must be successfully re-audited prior to the end of the three month period. Re-Audit results in [NC Remediation Report].
[REC]	Recommendation	Requirement fulfilled, but amendments recommended. Must be addressed within one year after audit. Will become [NCB] if not addressed within one year.
[PI]	Potential for improvement	Requirement fulfilled, but future requirements foreseen. Should be considered. No time constraints.

QUESTIONS ?

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