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

Type	Name	Goal	Consignee	Dependencies	Frequency	POT / PIT
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	ETSI audits always cover the period since the previous audit = **POT** If the CA as company/ organization starts from scratch and has not been audited before that effectively results in a point in time audit = **PIT**
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	
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	n/a

ETSI 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.