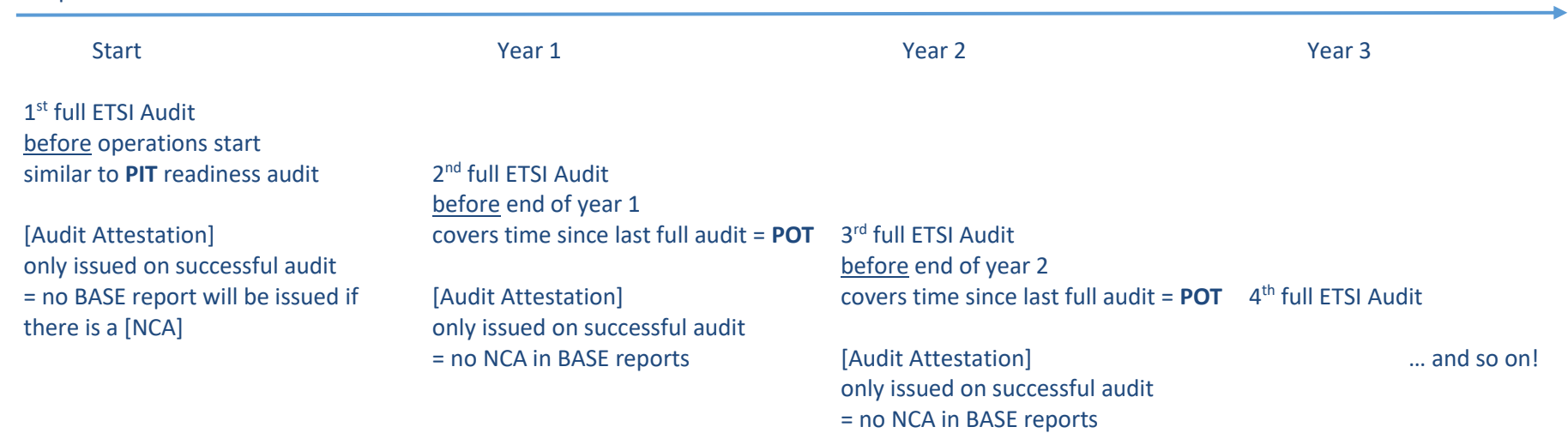


ETSI CA LIFE CYCLE COVERAGE

CA operation



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	<ul style="list-style-type: none"> incorporates <ul style="list-style-type: none"> - 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 <u>period</u> 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 <u>point</u> in time audit = PIT
BASE	[Audit Report on ETSI EN 319 411-1]	founding base for SUMMARY report	CA = confidential report	<ul style="list-style-type: none"> incorporates <ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> incorporates <ul style="list-style-type: none"> - 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 <ul style="list-style-type: none"> - 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.