ETSI CA LIFE CYCLE COVERAGE

ETSI / ACAB’c
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
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Year 1

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

[Audit Attestation]
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= no NCA in BASE reports
ETSI CA LIFE CYCLE COVERAGE

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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

Year 2

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

Year 3

4th full ETSI Audit
... and so on!
ETSI AUDIT REPORTING

ETSI / ACAB‘c
<table>
<thead>
<tr>
<th>Type</th>
<th>Name</th>
<th>Goal</th>
<th>Consignee</th>
<th>Dependencies</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>BASE</td>
<td>[Audit Report on ETSI EN 319 411-1]</td>
<td>founding base for SUMMARY report</td>
<td>CA = confidential report</td>
<td>• incorporates&lt;br&gt;- ETSI EN 319 401 and&lt;br&gt;- Baseline requirements and/or&lt;br&gt;- Extended Validation Guidelines&lt;br&gt;• contains all details on CA non conformities&lt;br&gt;• handed out to CA as detailed audit documentation</td>
<td>yearly, full normative coverage</td>
</tr>
<tr>
<td></td>
<td>[Audit Report on ETSI EN 319 411-2]*</td>
<td>founding base for SUMMARY report&lt;br&gt;covers additional EU requirements for QWACS certs</td>
<td>CA = confidential report</td>
<td>• incorporates&lt;br&gt;- ETSI EN 319 411-1 and&lt;br&gt;- ETSI EN 319 401&lt;br&gt;- Baseline requirements and/or&lt;br&gt;- Extended Validation Guidelines&lt;br&gt;• contains all details on CA non conformities&lt;br&gt;• handed out to CA as detailed audit documentation</td>
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* If the CA issues QWACs according to eIDAS
## ETSI AUDIT REPORTING

### SUMMARY REPORT

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| 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                 |

**Diagram:**
- **SUMMARY** [AUDIT ATTESTATION]
- **BASE** [ETSI AUDIT REPORTS]
## ETSI AUDIT REPORTING

### DEVIATION REPORT

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<tr>
<td>DEVIATION</td>
<td>[NC Remediation Report]</td>
<td>audit of remediated non-conformities (NC) formerly noted in BASE reports</td>
<td>CA</td>
<td>any report listing NC of the kind - ETSI EN 319 411-2 - ETSI EN 319 411-1 - ETSI EN 319 401</td>
<td>latest three month after audit with NC discovered</td>
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ETSI AUDIT FINDINGS

ETSI / ACAB‘c
# ETSI AUDIT FINDINGS

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

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| [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]. |
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| [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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