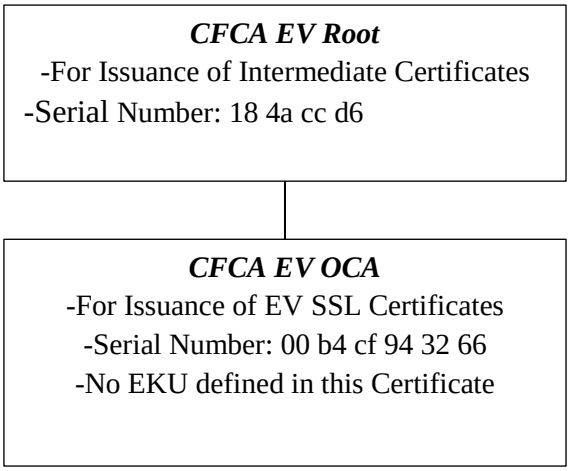
Audit Plan for the Baseline Requirements for the Issuance and Management of Publicly Trusted Certificates

CFCA will engage PwC to perform the following audit.

1. **Audit Scope**

All the root certificates and intermediate certificates capable of issuing the SSL certificates, as well as the SSL subscriber certificates as required by the BR, under the root certificate of CFCA EV Root, are within the scope of this audit. As shown in the following diagram, the root certificate of EV Root and intermediate certificate of CFCA EV OCA, the only intermediate certificate under EV Root, will be audited for Baseline Requirements compliance, and end entity certificates will be audited on a sample basis. The system configuration reviewed shows that the CFCA EV OCA is the only intermediate certificate for CFCA EV Root.



2. **Audit Period**

The audit to be performed is in accordance to the Webtrust for Certification Authorities- SSL Baseline Requirements Audit Criteria, which is based on the CAB Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted Certificates. The audit will cover a period of time covering Mar 16th to Sept 30th, 2014 for certificate issuance and management and testing to verify that the root, intermediate, and End Entity SSL certificates (on a sample basis) conform to RFC 5280.

We anticipate PwC will commence the audit work in the second half of Oct 2014.

3. **Audit Methodologies**

Our auditor, PwC, will use Inquiries, Observation, and Examination in this audit engagement.

a. Inquiry: Staff members of CFCA responsible for the issuance and management of SSL certificates will be inquired to understand our businesses, operations, controls and other critical procedures related to SSL certificates.
b. Observation: Daily work of CFCA staff members will be observed to provide reasonable assurance that the procedural and control requirements related to SSL certificates and RFC 5280 compliance are followed.

c. Inspection: All certificates within audit scope and Documentations of the work of issuance and management of SSL Certificates are the population of the audit. PwC will select a sample from this population for inspection according to the Baseline Requirements Audit Criteria when applicable. Records of RFC 5280 compliance and related control documentation will also be inspected. During this process, PwC would sample subscriber certificates and documentations according to the PwC Audit Guide.
d. Reperformance: From the audit scope and our controls, a sample of our certificates will be checked, and a sample of our control procedures will be reperformed to check our compliance with the Baseline Requirements and RFC 5280.

4. Audit Content

Our auditor, PwC, will follow the WebTrust Principles and Criteria for Certification Authorities – SSL Baseline with Network Security – Version 2.0, which is based on the CAB Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted Certificates and Network and Certificate Systems Security Requirements.

As the Baseline Requirements frequently refer to the RFC 5280, CFCA have established control to conduct an annual review of our root certificate, intermediate certificate and end entity certificates against RFC 5280. In situation where we have system changes that impacted the root, intermediate and end entity certificate, we will conduct an ad hoc review against RFC 5280.. PwC will test to verify the root, intermediate, and End Entity SSL certificates (on a sample basis) conform to RFC5280.