

# Audit Attestation for SwissSign AG

Reference: AA2021112602

<b>Your ref.:</b>	<b>Your message from:</b>	<b>Our ref.:</b>	<b>Date:</b>
-	-	TUV TRUST IT/wcl	2021-11-26

To whom it may concern,

This is to confirm that TÜV AUSTRIA CERT has successfully audited the CA of the SwissSign AG without critical findings.

This present Audit Attestation letter is registered under the unique identifier number "AA2021112602" and consist of 9 pages. This audit attestation is issued based on the report number TA235203363\_SR, TA235203364. Predecessor is Audit Attestation letter AA2020112503 as of 2020-12-17 which it supersedes.

Kindly find here below the details accordingly.

In case of any question, please contact:

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With best regards,



i.A. Clemens Wanko



i.V. Andreas Dvorak

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<p>Auditor:</p>	<p>TÜV AUSTRIA CERT GmbH<sup>1</sup> TÜV AUSTRIA-Platz 1, 2345 Brunn am Gebirge, Company registration: Vienna / Wien / FN 288474 b</p> <p>Accreditation Body: Federal Ministry for Digital and Economic Affairs 1010 Wien, Stubenring 1 mailto: <a href="mailto:akkreditierung@bmdw.gv.at">akkreditierung@bmdw.gv.at</a> <a href="https://akkreditierung-austria.gv.at/">https://akkreditierung-austria.gv.at/</a></p> <p>Accreditation: The CAB is accredited for the certification of trust services according to DIN EN ISO/IEC 17065:2012, ETSI EN 319 403 v2.2.2:2015 and ETSI EN 319 403-1 V2.3.1:2020.</p> <p>URL to accreditation: <a href="https://www.tuv.at/fileadmin/user_upload/docs/certification/Akkreditierungs-Urkunde_und_-Umfang_Produktzertifizierung.pdf">https://www.tuv.at/fileadmin/user_upload/docs/certification/Akkreditierungs-Urkunde_und_-Umfang_Produktzertifizierung.pdf</a></p> <p>Third-party affiliate audit firms involved in the audit: none.</p>
<p>Identification and qualification of the audit team:</p>	<ul style="list-style-type: none"><li>• Number of team members: 1</li><li>• Academic qualifications of team members: All team members have formal academic qualifications or professional training or extensive experience indicating general capability to carry out audits based on the knowledge given below and at least four years full time practical workplace experience in information technology, of which at least two years have been in a role or function relating to relevant trust services, public key infrastructure, information security including risk assessment/management, network security and physical security.</li><li>• Additional competences of team members: All team members have knowledge of<ol style="list-style-type: none"><li>1) audit principles, practices and techniques in the field of CA/TSP audits gained in a training course of at least five days;</li><li>2) the issues related to various areas of trust services, public key infrastructure, information security including risk assessment/management, network security and physical security;</li><li>3) the applicable standards, publicly available specifications and regulatory requirements for CA/TSPs and other relevant publicly available specifications including standards for IT product evaluation; and</li><li>4) the Conformity Assessment Body's processes.</li></ol>Furthermore, all team members have language skills appropriate for all organizational levels within the CA/TSP organization; note-taking, report-writing, presentation, and interviewing skills; and relevant personal attributes: objective, mature, discerning, analytical, persistent and realistic.</li><li>• Professional training of team members: See "Additional competences of team members" above. Apart from that are all team members trained to demonstrate adequate competence in:</li></ul>

<sup>1</sup> in the following termed shortly „CAB“

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	<ul style="list-style-type: none"><li>a) knowledge of the CA/TSP standards and other relevant publicly available specifications;</li><li>b) understanding functioning of trust services and information security including network security issues;</li><li>c) understanding of risk assessment and risk management from the business perspective;</li><li>d) technical knowledge of the activity to be audited;</li><li>e) general knowledge of regulatory requirements relevant to TSPs; and</li><li>f) knowledge of security policies and controls.</li></ul> <ul style="list-style-type: none"><li>• Types of professional experience and practical audit experience: The CAB ensures, that its personnel performing audits maintains competence on the basis of appropriate education, training or experience; that all relevant experience is current and prior to assuming responsibility for performing as an auditor, the candidate has gained experience in the entire process of CA/TSP auditing. This experience shall have been gained by participating under supervision of lead auditors in a minimum of four TSP audits for a total of at least 20 days, including documentation review, on-site audit and audit reporting.</li><li>• Additional qualification and experience Lead Auditor: On top of what is required for team members (see above), the Lead Auditor<ul style="list-style-type: none"><li>a) has acted as auditor in at least three complete TSP audits;</li><li>b) has adequate knowledge and attributes to manage the audit process; and</li><li>c) has the competence to communicate effectively, both orally and in writing.</li></ul></li><li>• Special skills or qualifications employed throughout audit: none.</li><li>• Special Credentials, Designations, or Certifications: All members are qualified and registered assessors within the accredited CAB.</li><li>• Auditors code of conduct incl. independence statement: Code of Conduct as of Annex A, ETSI EN 319 403 or ETSI EN 319 403-1 respectively.</li></ul>
Identification and qualification of the reviewer performing audit quality management:	<ul style="list-style-type: none"><li>• Number of Reviewers/Audit Quality Managers involved independent from the audit team: 1</li><li>• The reviewer fulfils the requirements as described for the Audit Team Members above and has acted as an auditor in at least three complete CA/TSP audits.</li></ul>

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Identification of the trust service provider (TSP/CA):	<i>SwissSign AG Sägereistraße 25 CH-8152 Glattbrugg, Switzerland All relevant TSP sites are located in Glattbrugg, Switzerland Contact: Mr. Michael Günther E-Mail: michael.guenther@swisssign.com Company registration: CHE-403.679.996, CHE-109.357.012 (SwissSign Ltd.)</i>
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Audit Period covered for all policies:	2020-09-25 to 2021-09-24
Audit dates:	Stage 1: 2021-07-05 to 2021-07-30 Stage 2: 2021-09-06 to 2021-09-24
Audit Location:	Zürich and Glattbrugg, Switzerland
Type of audit	<input type="checkbox"/> Point in time audit <input type="checkbox"/> Period of time, after x month of CA operation <input checked="" type="checkbox"/> Period of time, full audit

Standards considered	<p>European Standards:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> ETSI EN 319 411-2, V.2.3.1 (2021-05)</li><li><input checked="" type="checkbox"/> ETSI EN 319 411-1, V1.3.1 (2021-05)</li><li><input checked="" type="checkbox"/> ETSI EN 319 401, V2.3.1 (2021-05)</li></ul> <p>CA Browser Forum Requirements:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> EV SSL Certificate Guidelines, version 1.7.8</li><li><input checked="" type="checkbox"/> Baseline Requirements, version 1.8.0</li><li><input checked="" type="checkbox"/> ETSI TS 119 403-2 V1.2.4 (2020-11)</li></ul> <p>Browser Policy Requirements:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Mozilla Root Store Policy</li><li><input checked="" type="checkbox"/> Microsoft Trusted Root Program</li><li><input checked="" type="checkbox"/> Google Root Program</li><li><input checked="" type="checkbox"/> Apple Root Store Program</li></ul>

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Identification of the audited Root-CA:	<i>SwissSign Silver CA - G2</i>	
	Distinguished Name	CN = SwissSign Silver CA - G2 O = SwissSign AG C = CH
	SHA-256 fingerprint	BE6C4DA2BBB9BA59B6F3939768374246C3C005993FA98F020D1DEDBED48A81D5
	Certificate Serial number	4F1BD42F54BB2F4B
	Applied policy	<i>ETSI EN 319 411-1, policies LCP, DVCP</i>

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The full annual audit was based on the following policy and practice statement documents of the TSP:

1. *SwissSign CP LCP - Certificate Policy Certificate Policy according to Lightweight Certificate Policy, version 1.0, as of 2021-06-14*
2. *SwissSign CP DV - Certificate Policy for Domain Validated Certificates, version 1.0, as of 2021- 06-14*
3. *SwissSign TSPS - Trust Services Practice Statement, version 3.0, as of 2021-11-08*
4. *SwissSign CPS S/MIME - Certification Practice Statement for S/MIME certificates “, version 2.0, as of 2021-10-11*
5. *SwissSign CPR S/MIME - Certificate, CRL and OCSP Profiles for S/MIME Certificates version 2.0, as of 2021-10-11*
6. *SwissSign CPS TLS - Certification Practice Statement for TLS Certificates“, version 3.0, as of 2021-11-08*
7. *SwissSign CPR TLS - Certificate, CRL and OCSP Profiles for TLS Certificates, version 3.0, as of 2021-11-08*

In the following areas **minor non-conformities** have been identified throughout the audit:

Findings with regard to ETSI EN 319 401:

5. Risk Assessment

The TSP shall improve its risk assessment.

The TSP shall improve the handling and resolution of singular risk factors.

7.10 Collection of evidence

The TSP shall improve the archiving of logged events.

The TSP shall improve the archiving and review of paper application.

Findings with regard to ETSI EN 319 411-1:

6.2 Identification and authentication

The TSP shall finalize its review of its MPKI setup.

6.3 Certificate Life-Cycle operational requirements

The TSP shall improve the authentication methods for revocation of S/MIME certificates.

The TSP shall improve the functioning of an MPKI setup.

The TSP shall improve the review process of internal policies.

The TSP shall improve its access and authentication policy.

6.4 Facility, management, and operational controls

The TSP shall improve the processes of PKI key management.

7.5 Cryptographic controls

The TSP shall improve the handling of its back-up HSMs.

7.8 Network security

The TSP shall perform the planned penetration tests.

7.11 Business Continuity Management

The Business Continuity Policy shall be improved.

All **major non-conformities** have been closed before the issuance of this attestation.

For all **minor non-conformities** listed above, remediation has been scheduled within three months after the onsite audit at latest and will be covered by a corresponding audit.

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This Audit Attestation also covers the following incidents as documented under

- Policy NCP-SMIME: Bug 1731586, SwissSign AG: Certificate with key length 16258:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1731586](https://bugzilla.mozilla.org/show_bug.cgi?id=1731586)
- Policy EVCP: Bug 1734131, SwissSign AG: wrong address in EV certificate:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1734131](https://bugzilla.mozilla.org/show_bug.cgi?id=1734131)
- Any Policy: Bug 1613334, SwissSign AG: Misissuance with misspellings in Location for a number of Certificates: [https://bugzilla.mozilla.org/show\\_bug.cgi?id=1613334](https://bugzilla.mozilla.org/show_bug.cgi?id=1613334)
- Any Policy: Bug 1551364, SwissSign AG: "Some-State" in stateOrProvinceName:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1551364](https://bugzilla.mozilla.org/show_bug.cgi?id=1551364)
- Any Policy: Bug 1670894, SwissSign AG: Invalid stateOrProvinceName field:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1670894](https://bugzilla.mozilla.org/show_bug.cgi?id=1670894)
- Any Policy: Bug 1671113, SwissSign AG: Failure to provide a preliminary report within 24 hours:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1671113](https://bugzilla.mozilla.org/show_bug.cgi?id=1671113)
- Any Policy: Bug 1691704, SwissSign AG: Certificate with key length 4098 bit:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1691704](https://bugzilla.mozilla.org/show_bug.cgi?id=1691704)
- Any Policy: Bug 1677737, SwissSign AG: duplicate serial number:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1677737](https://bugzilla.mozilla.org/show_bug.cgi?id=1677737)

The remediation measures taken by SwissSign AG as described on Bugzilla (see link above) have been accompanied by the auditors and showed to properly address the incident. The long-term effectiveness of the measures will be rechecked at the next regular audit.

The Sub-CA that have been issued by the aforementioned Root-CA and that have been covered by this audit are listed in table 1 below. The TSP assured that all non-revoked Sub-CA that are technically capable of issuing server or email certificates and that have been issued by this Root-CA are in the scope of regular audits.

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Distinguished Name	SHA-256 fingerprint	Applied policy OID	EKU
CN = SwissSign Personal Silver CA 2014 - G22, O = SwissSign AG, C = CH	C9E40F4E83396F34A7C861817B4EDAB3DC1F8BAC699FD50CB261FA9123D55EF4	ETSI EN 319 411-1, LCP	Not defined
CN = SwissSign Server Silver CA 2014 - G22, O = SwissSign AG, C = CH	67F91F26F5BFBFA48738BE0678DD2F8F75F7B80761D5656783CA8B920AAA5659	ETSI EN 319 411-1, DVCP	Not defined
CN = SwissSign Server Silver CA 2008 - G2, O = SwissSign AG, C = CH	06E5DEC31C91D7D33435201D2E22116C207193A874E0A426532A2F69530C86B5	ETSI EN 319 411-1, DVCP	Not defined
CN = SwissSign Personal Silver CA 2008 - G2, O = SwissSign AG, C = CH	FA397DE8DB6F110A7FA34D101BAC8A914750F53B0223A8BD2FB812E757155C20	ETSI EN 319 411-1, LCP	Not defined

Table 1: CA issuing end entity certificates issued by the Root-CA



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## Modifications record

Version	Issuing Date	Changes
Version 1	2021-11-26	initial attestation

End of the audit attestation letter.