

# Audit Attestation for SwissSign AG

Reference: AA2022113005

<b>Your ref.:</b>	<b>Your message from:</b>	<b>Our ref.:</b>	<b>Date:</b>
-	-	TUV TRUST IT/wcl	2022-11-30

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 "AA2022113005" and consist of 9 pages. This audit attestation is issued based on the reports number TA235224002\_SR and TA235224003\_SR. Predecessor is Audit Attestation letter AA2022070102 as of 2022-07-01 which it supersedes.

Kindly find here below the details accordingly.

In case of any question, please contact:

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Certification Body

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With best regards,



i.A. Clemens Wanko



i.V. Andreas Dvorak

# Audit Attestation

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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:	2022-06-08 to 2022-09-23
Audit dates:	Stage 1: 2022-08-08 to 2022-08-26 Stage 2: 2022-08-30 to 2022-09-23
Audit Location:	Zürich and Glattbrugg, Switzerland
Type of audit	<input type="checkbox"/> Point in time audit <input type="checkbox"/> Period of time, after start of the CA operations within 90 days <input checked="" type="checkbox"/> Period of time, full audit

Standards considered	<p>European Standards:</p> <input type="checkbox"/> ETSI EN 319 411-2, V2.4.1 (2021-11) <input checked="" type="checkbox"/> ETSI EN 319 411-1, V1.3.1 (2021-05) <input checked="" type="checkbox"/> ETSI EN 319 401, V2.3.1 (2021-05)	<p>CA Browser Forum Requirements:</p> <input type="checkbox"/> EV SSL Certificate Guidelines, version 1.7.9 <input checked="" type="checkbox"/> Baseline Requirements, version 1.8.4 <input checked="" type="checkbox"/> ETSI TS 119 403-2 V1.2.4 (2020-11)	<p>Browser Policy Requirements:</p> <input checked="" type="checkbox"/> Mozilla Root Store Policy <input checked="" type="checkbox"/> Microsoft Trusted Root Program <input checked="" type="checkbox"/> Google Root Program <input checked="" type="checkbox"/> Apple Root Store Program
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# Audit Attestation

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Identification of the audited Root-CA:	SwissSign RSA SMIME Root CA 2022 - 1	
	Distinguished Name	CN = SwissSign RSA SMIME Root CA 2022 - 1 O = SwissSign AG C = CH
	SHA-256 fingerprint	9A12C392BFE57891A0C545309D4D9FD567E480CB613D6342278B195C79A7931F
	Certificate Serial number	460ED4017190A01A832C4A42102815D2611BAD32
	Applied policy	<i>ETSI EN 319 411-1, policies LCP, NCP</i>

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

1. *SwissSign CP NCP - Certificate Policy according to Normalized Certificate Policy, version 2.0, as of 2022-08-15*
2. *SwissSign CP NCP extended - Certificate Policy according to Normalized Certificate Policy with extended ECU, version 2.0, as of 2022-08-15*
3. *SwissSign CP LCP - Certificate Policy Certificate Policy according to Lightweight Certificate Policy, version 2.0, as of 2022-08-15*
4. *SwissSign TSPS - Trust Services Practice Statement, version 4.0, as of 2022-07-18*
5. *SwissSign CPS S/MIME - Certification Practice Statement for S/MIME certificates “, version 4.0, as of 2022-11-07*
6. *SwissSign CPR S/MIME - Certificate, CRL and OCSP Profiles for S/MIME Certificates, version 5.0, as of 2022-11-07*

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.

6.1 Trust Service Practice statement

The TSP shall improve the documented representation of its services.

7.7 Operation security

The TSP shall improve its change management procedures.

7.8 Network security

The TSP shall improve its monitoring of system activities.

The TSP shall improve the regular execution of vulnerability scans for the Kubernetes containers.

7.10 Collection of evidence

The TSP shall improve the archiving of logged events.

The TSP shall improve the process of access rights assignment for the electronic archive.

Findings with regard to ETSI EN 319 411-1:

6.4 Facility, management, and operational controls

The TSP shall improve the oversight of objects to be archived.

The TSP shall improve the processes of PKI key management.

The TSP shall improve the transfer of logs to long-term archives.

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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.

This Audit Attestation also covers the following incidents as documented under

- Policy LCP-SMIME: Bug 1766255, SwissSign: Mis-Issuance of S/MIME certificates:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1766255](https://bugzilla.mozilla.org/show_bug.cgi?id=1766255)
- Any Policy: Bug 1784881, SwissSign: Missed deadline of publication of 6 CPs and 1 CP/CPS:  
[https://bugzilla.mozilla.org/show\\_bug.cgi?id=1784881](https://bugzilla.mozilla.org/show_bug.cgi?id=1784881)

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
1	CN = SwissSign RSA SMIME LCP ICA 2022 - 1, O = SwissSign AG, C = CH	D7F41FABE5A459BAC6882465C75CCFF2BAA52487AABC34706CAF2A18AC53A5C2	ETSI EN 319 411-1, LCP	E-mail Protection
2	CN = SwissSign RSA SMIME NCP ICA 2022 - 1, O = SwissSign AG, C = CH	99A56DD8DACA399FCA2E3834ED75760E96C133564062F8B530B355BED99A409D	ETSI EN 319 411-1, NCP	TLS Web Client Authentication, E-mail Protection
3	CN = SwissSign RSA SMIME NCP extended ICA 2022 - 1, O = SwissSign AG, C = CH	7196E86DCFDB92B0509213D806DCA2465FC41415A0B4069D35F946DE6813CF79	ETSI EN 319 411-1, NCP	TLS Web Client Authentication, E-mail Protection, Microsoft Encrypted File System, Microsoft Smartcard Login

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



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## Modifications record

Version	Issuing Date	Changes
Version 1	2022-11-30	initial attestation

End of the audit attestation letter.