# AUDIT STATEMENT REPORT

POLICY AND SECURITY REQUIREMENTS FOR TRUST SERVICE PROVIDERS ISSUING CERTIFICATES COMPLIANCE AUDIT

## AUDIT DETAILS

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| Subject of audit: | Certification Authority "CA Disig" |
| Company: | **Disig, a.s.** |
| Location: | Záhradnícka 151, 821 08 Bratislava, Slovak Republic |
| Contact person: | Peter Miškovič |
| Standards: | **ETSI EN 319 411-1 V1.3.1 (2021-05), ETSI TS 119 411-6 V1.1.1 (2023-08), CA/Browser Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted S/MIME Certificates, v.1.0.1 (August 11, 2023)** |

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| Audit reference: | 1705/23-5 |
| Lead auditor: | Ján Matuška, CISA (#1081409), CISSP (#350884) |
| Date of audit: | October 31, 2023 |
| Audited time period: | September 04, 2023 – October 31, 2023, period of time audit |
| Date of audit report: | November 14, 2023 |
| Main CA policy documents: | CP SMIME CA Disig, version 1.0 (effective September 01, 2023) |
| | CPS SMIME RA CA Disig, version 1.0 (effective September 01, 2023) |

### SUMMARY

Independent audit team has conducted and completed an audit of the Certification Authority "CA Disig" to assess its compliance with the following technical standards and specifications:

> **ETSI EN 319 411-1 V1.3.1 (2021-05) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements;**

> **ETSI TS 119 411-6 V1.1.1 (2023-08) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates Part 6: Requirements for Trust Service Providers issuing publicly trusted S/MIME certificates;**

> **Baseline Requirements for the Issuance and Management of Publicly-Trusted S/MIME Certificates, v.1.0.1, adopted by the CA/Browser Forum as of August 11, 2023.**

The main objective was to verify the level and effectiveness of existing controls within the infrastructure of Certification Authority "CA Disig" and to determine whether the Certification Authority meets the requirements of the above-mentioned standards.

The audit was conducted as a **full audit applying LCP, OVCP and NCP criteria of ETSI EN 319 411-1, ETSI TS 119 411-6 and the criteria of CA/Browser Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted S/MIME Certificates.**
The examination was conducted in accordance with international and European Standards/Specifications, in particular with ETSI EN 319 403-1, V2.3.1 and ETSI EN 319 403-2, V1.3.1.

The certification authorities that were in scope of the audit (root CAs and their subordinate CAs capable of issuing SSL certificates):

| Name and distinguished name of CA | SHA256 Fingerprint |
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| **CA Disig Root R2**<br>C=SK, L=Bratislava, O=Disig a.s., CN=CA Disig Root R2 | E23D4A036D7B70E9F595B1422079D2B91EDFBB1FB651A0633EAA8A9DC5F80703 |
| **CA Disig R2I5 Certification Service**<br>C=SK, L=Bratislava, O=Disig a.s., CN=CA Disig R2I5 Certification Service | 90BA720B376FB9FDCF8A1037A5316FB493B5ACF656AD79C6839008BD43343FDD |

The audit covered the relevant systems and processes used in the issuance of all Certificates that assert the certification policy CP SMIME CA Disig, version 1.0, OID = 1.3.158.35975946.0.0.0.1.11.

CA Policy documents that were referenced during the audit:
- S/MIME Certificate Policy (CP SMIME CA Disig), version 1.0,
- Trust Service Policy, version 1.0,
- General Terms and Conditions for Providing and Using a Trusted Service, version 2.0.

### CONCLUSION

According to the security audit compliance results based on ETSI EN 319 411-1 V1.3.1 requirements, ETSI TS 119 411-6 V.1.1.1 and on the CA/Browser Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted S/MIME Certificates v.1.0.1, the audit team formulated the following statement:

**„The audit team has confirmed that the requirements identified in the standards are met."**

The audit report states some minor findings without material impact on the security of the certification services. No evidence of significant violation of the Certification Authority policies, practices or procedures was found.

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| Ing. Ján Matuška | Ing. Marcel Šlúch |
| Lead auditor | Chief executive |