

Audit Attestation for

CERTIGNA

Reference: No. 23-1515 V1.0

“Saint-Malo, 2021-12-10”

To whom it may concern,

This is to confirm that “LSTI” has audited the CAs of “CERTIGNA” without critical findings.

This present Audit Attestation Letter is registered under the unique identifier number “23-1515” and consists of 8 pages.

Kindly find here below the details accordingly.

In case of any question, please contact:

LSTI SAS

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With best regards,

Armelle Trotin
Head of Certification Body

Identification of the conformity assessment body (CAB) and assessment organization:	<p>LSTI SAS: 10 Avenue Anita Conti, 35400 Saint-Malo (France) Accredited by national_accreditation_body (COFRAC) under registration accreditation_registration1 for the certification of trust services.</p> <p>COFRAC: 52 Rue Jacques Hillairet, 75012 Paris (FRANCE), Phone: +33 144688220.</p> <p>Attestation of accreditation downloadable HERE</p> <p>Insurance Carrier (BRG section 8.2): HISCOX SA, contract n°TECH21014</p> <ul style="list-style-type: none"> • Third-party affiliate audit firms involved in the audit: none.
Identification and qualification of the audit team:	<p>Number of team members: 2.</p> <p>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.</p> <p>Additional competences of team members: All team members have knowledge of</p> <ol style="list-style-type: none"> 1) audit principles, practices and techniques in the field of CA/TSP audits gained in a training course of at least five days; 2) the issues related to various areas of trust services, public key infrastructure, information security including risk assessment/management, network security and physical security; 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 4) the Conformity Assessment Body's processes. <p>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.</p> <p>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: knowledge of the CA/TSP standards and other relevant publicly available specifications;</p>

¹ URL to the accreditation certificate hosted by the national accreditation body

	<p>understanding functioning of trust services and information security including network security issues;</p> <p>understanding of risk assessment and risk management from the business perspective;</p> <p>technical knowledge of the activity to be audited;</p> <p>general knowledge of regulatory requirements relevant to TSPs;</p> <p>and</p> <p>knowledge of security policies and controls.</p> <p>Types of professional experience and practical audit experience:</p> <p>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.</p> <p>Additional qualification and experience Lead Auditor:</p> <p>On top of what is required for team members (see above), the Lead Auditor</p> <p>has acted as auditor in at least three complete TSP audits;</p> <p>has adequate knowledge and attributes to manage the audit process; and</p> <p>has the competence to communicate effectively, both orally and in writing.</p> <p>Special skills or qualifications employed throughout audit: none.</p> <p>Special Credentials, Designations, or Certifications:</p> <p>All members are qualified and registered assessors within the accredited CAB.</p> <p>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.</p>
Identification and qualification of the reviewer performing audit quality management:	<p>Number of Reviewers/Audit Quality Managers involved independent from the audit team: 1.</p> <p>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.</p>
Identification of the trust service provider (TSP):	CERTIGNA : 20 Allée de la Râperie, 59 650 Villeneuve d'Ascq (FRANCE)
Audit Period covered for all policies:	2020-10-08 to 2021-09-24

Audit dates:	2021-09-20 to 2021-09-24 (on site)
Audit Locations:	<u>CERTIGNA</u> : 20 Allée de la Râperie, 59 650 Villeneuve d'Ascq (France) <u>TESSI</u> : 137 Rue du Fontenoy, 59100 Roubaix (France) <u>CIV ADC1</u> : Parc d'activité du Melantois, Rue des Saules 59262 Sainghin-en-Mélantois (France) <u>CIV ADC2</u> : 486 Avenue Augusta Ada King, 59400 ANZIN (FRANCE)

Identification of the audited Root-CA:	name of the root, e.g. common Name	
	Distinguished Name	CN = Certigna Root CA OU=0002 48146308100036 O=Dhimyotis C=FR
	SHA-256 fingerprint	D48D3D23EEDB50A459E55197601C27774B9D7B18C94D5A059511A10250B93168
	Certificate Serial number	00CAE91B89F155030DA3E6416DC4E3A6E1
	Applied policy	PCcertignarootca : 1.2.250.1.177.2.0.1

Identification of the audited Root-CA:	name of the root, e.g. common Name	
	Distinguished Name	CN=Certigna O=Dhimyotis C=FR
	SHA-256 fingerprint	E3B6A2DB2ED7CE48842F7AC53241C7B71D54144BFB40C11F3F1D0B42F5EEA12D
	Certificate Serial number	00FEDCE3010FC948FF
	Applied policy	PCcertignaracine : 1.2.250.1.177.1.0.1

The audit was performed as full period of time audit at the TSP's location in Villeneuve d'Ascq (France). It took place from 2021-09-20 until 2021-09-24 and covered the period from 2020-10-08 until 2021-09-24. The audit was performed according to the European Standards "ETSI EN 319 411-2, V2.2.0 (2017-08)", "ETSI EN 319 411-1, V1.2.2 (2018-04)" and "ETSI EN 319 401, V2.2.1 (2018-04)" as well as CA Browser Forum Requirements "EV SSL Certificate Guidelines, version 1.7.1" and "Baseline Requirements, version 1.6.7" considering the requirements of the "ETSI EN 319 403-1 V2.3.1 (2015-08)" and "ETSI TS 119 403-2 V1.2.1 (2019-04)" for the Trust Service Provider Conformity Assessment.

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

1. PC - FR - Certigna v1.3, as of 2021-09-14
2. DPC - FR - Certigna v1.3, as of 2021-09-14
3. PC - FR - Certigna Root CA v3.4, as of 2021-06-14
4. DPC - FR - Certigna Root CA v3.4, as of 2021-06-14
5. CGVU_FR_CERTIGNA_v2.5, as of 'unknowned'.

No major non-conformities have been identified during the audit.

22 minor non-conformities have been identified during the audit.

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

Findings with regard to ETSI EN 319 401:

REQ-6.1-04; REQ-6.2-01; REQ-6.3-01; REQ-6.3-04; REQ-7.1.1-02; REQ-7.2-04; REQ-7.2-17; REQ-7.3.1-02; REQ-7.6-01; REQ-7.9-04; REQ-7.9-07; REQ-7.10-08; REQ-7.13-01.

Findings with regard to ETSI EN 319 411-1:

OVR-5.2-07; REQ-6.2-02 k; REG-6.2.2-19 b; GEN-6.4.5-08; OVR-6.4.6-01; GEN-6.6.1; GEN-6.6.1-02; OVR-6.8.6-02; OVR-6.9.2-03.

Findings with regard to ETSI EN 319 411-2:

SDP-6.5.4-02; SDP-6.5.1-04; SDP-6.5.1-05; SDP-6.5.1-07; GEN-6.6.1-02; EN 319 412-5 - §4.3.4.

Findings with regard to [PTC] BRG:

clause 2.2, clause 7.2.2

For all non-conformities, 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 revue of incidents during the previous period: there's none.

The remediation measures taken by CERTIGNA as described on Bugzilla (see link above) have been checked by the auditors and properly addressed 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 those Root-CA are in the scope of regular audits.

Distinguished Name	SHA-256 fingerprint	Applied policy OID	EKU
CN=Certigna Entity CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	EBBF4DC600C17DA04381DEFDCFC119C3F34EFB4A04D0860910B813C7792D7585	1.2.250.1.177.1.0.1.2	Email Protection id-kp-timeStamping
CN=Certigna Entity CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	1CC358A6DFA0A76BB5470660D78F3B25F23CCD6395667E49CCFC8201DA3D192D	1.2.250.1.177.2.0.1.1	Email Protection id-kp-timeStamping
CN=Certigna Entity Code Signing CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	935061BE52C8EA88C034B39ADFD522BB314CBF5304E5A7064735DDBDA3242AAF	1.2.250.1.177.1.0.1.2	id-kp-codeSigning
CN=Certigna Entity Code Signing CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	781ACD209D3B873F148F5DB31C680ADADCED40238D8C1BF1A2D553391FA5D0F3	1.2.250.1.177.2.0.1.1	id-kp-codeSigning
CN=Certigna Services CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	71E653BFBF5E72515B4099BBD5EC8872812B47C6EC1FA9ADD327E1C92C9EA16D	1.2.250.1.177.1.0.1.2	id-kp-serverAuth id-kp-clientAuth
CN=Certigna Services CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	07F2CE55CA1AA6CB992719B1E423C1D02C1EA759A6E2EAB4E150C88282E22550	1.2.250.1.177.2.0.1.1	id-kp-serverAuth id-kp-clientAuth
CN=FR03,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	080E7E36B3C7FA96ECC67DB7F4D41CECE1D194401AF196A4A47B79BDC4970574	1.2.250.1.177.2.0.1.1	None
CN=Certigna Wild CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	211F3083B9E77A01D0828565897A1CE945EEAAE04942CCC369087D8080C9E4A6	1.2.250.1.177.1.0.1.2	id-kp-serverAuth id-kp-clientAuth
CN=Certigna Wild CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	B8D5D65C23FF9D8C902FFE6BEC1DD2F20693AF20E98AE47751F1ECB298127B6E	1.2.250.1.177.2.0.1.1	id-kp-serverAuth id-kp-clientAuth
CN=Certigna Identity CA,2.5.4.97=NTRFR-0002 48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	23BCD5D7A96A513A981EAD27936E59A8028A807BD72860418F68B555A2911670	1.2.250.1.177.1.0.1.2	Email Protection Encrypting File System
CN=Certigna Identity CA,2.5.4.97=NTRFR-0002 48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	B5E4491CF1E0A06C19441FAC295B678226429603FCC414C626E210B2EFC95F00	1.2.250.1.177.2.0.1.1	Email Protection Encrypting File System
CN=Certigna Identity Plus CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	02C4A300A09C1B893B11F9567659AF95BBB9BBE7953893E36C5BAF17B555CEE3	1.2.250.1.177.1.0.1.2	Email Protection id-kp-clientAuth
CN=Certigna Identity Plus CA,2.5.4.97=NTRFR-48146308100036,OU=0002 48146308100036,O=DHIMYOTIS,C=FR	736B996D339684729C43CB397D1BB2B2F3F4A7816A5E3C5D589203F885C5D47C	1.2.250.1.177.2.0.1.1	Email Protection id-kp-clientAuth

Table 1: Sub-CA's issued by the Root-CA or its Sub-CA's

Modifications record

Version	Issuing Date	Changes
Version 1	2021-12-10	Initial attestation

End of the audit attestation letter.