



**AUDIT ATTESTATION FOR
ANF Autoridad de Certificación Asociación, ANF AC
Issuing of qualified certificates services**

Document ID: 2021/8102

Thiene, 2021/05/12

This is to confirm that CSQA has successfully audited the “**Issuing of qualified certificates services**” of the ANF Autoridad de Certificación Asociación, ANF AC without critical findings, if any.

This present Audit Attestation Letter is registered under the unique identifier number “2021/8102” and consists of << 8 >> pages.

Kindly find here-below the details accordingly.

In case of any question, please contact:

CSQA Certificazioni S.r.l.

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With best regards,

The Chief Executive Officer

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Subject: Audit Attestation

<p>Identification of the conformity assessment body (CAB) and assessment organization:</p>	<p>CSQA Certificazioni Srl</p> <p>Via S. Gaetano, 74</p> <p>36016 Thiene (VI)</p> <p>email: csqa@csqa.it</p> <p>Phone: +39 0445 313011</p> <p>CSQA Certificazioni Srl is accredited by Italian National Accreditation Body (Accredia – www.accredia.it) for the following: “TSP (Trust Service Provider) and the services they offer compared with (EU Regulation) 910/2014 and / or specific provisions adopted by the national authorities for the services covered by the Accreditation Scheme.” (Scheme: PRD; Standard: UNI CEI EN/ISO/IEC 17065:2012; Certificate: N.014B).” The eIDAS Accreditation scheme is available here: http://www.accredia.it/UploadDocs/7015_DC2017SSV046eng.pdf</p>
<p>Identification and qualification of the audit team:</p>	<ul style="list-style-type: none">• Lead Auditor: Mr. Andrea Castello• Number of team members: 4• 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.• Additional competences of team members: All team members have knowledge of<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

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	<p>4) the Conformity Assessment Body's processes.</p> <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> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> a) knowledge of the CA/TSP standards and other relevant publicly available specifications; b) understanding functioning of trust services and information security including network security issues; c) understanding of risk assessment and risk management from the business perspective; d) technical knowledge of the activity to be audited; e) general knowledge of regulatory requirements relevant to TSPs; and f) knowledge of security policies and controls. • 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. • 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"> a) has acted as auditor in at least three complete TSP audits; b) has adequate knowledge and attributes to manage the audit process; and c) has the competence to communicate effectively, both orally and in writing. • Special skills or qualifications employed throughout audit: <ul style="list-style-type: none"> ○ ISMS Auditor (ISO/IEC 27001) • Special Credentials, Designations, or Certifications: All members are qualified and registered assessors within the accredited CAB. <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>
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Identification and qualification of the reviewer performing audit quality management:	<ul style="list-style-type: none">• Number of Reviewers/Audit Quality Managers involved independent from the audit team: 1• 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.
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Identification of the trust service provider (TSP):	ANF Autoridad de Certificación Asociación, ANF AC Registered office (Address): Paseo de la Castellana, 79 – 28037 MADRID Operational headquarters (Address): Gran Via de les Corts Catalanes, 996 Plantas 3a y 4a - 08018 BARCELONA – España Registered under nº G63287510
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Audit Period covered for all policies:	2020-04-17 to 2021-04-17
Audit dates:	2021-04-07 to 2021-04-29 (remote)
Audit Location:	Gran Via de les Corts Catalanes, 996 Plantas 3a y 4a - 08018 BARCELONA – España – Remote Audit Facility 1: ORANGE ESPAGNE, P° del club deportivo, 1 Parque empresarial la finca edificio 8-9 28223 Pozuelo de Alarcon, Spain – Remote Audit Facility 2: Colegio de Graduados Sociales de Barcelona, Carrer de Còrsega 227 08036 Barcelona – Remote Audit

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Distinguished Name and SHA256 fingerprint of each root and intermediate certificate that was in scope Below are indicate the details about the conformity assessment body, the trust service provider and each audited Root-CA:

Identification of the audited Root-CA:	ANF Global Root CA (expires 2033-06-05)
Distinguished Name	CN = ANF Global Root CA OU = ANF Clase 1 CA O = ANF Autoridad de Certificación C = ES
SHA-256 fingerprint	E3268F6106BA8B665A1A962DDEA1459D2A46972F1F2440329B390B895749AD45
Applied policy	ETSI EN 319 411-2 V2.2.2 (2018-04), QCP-N, QCP-N-QSCD, QCP-L, QCP-L-QSCD

Identification of the audited Root-CA:	ANF Global Root CA (expires 2036-05-15)
Distinguished Name	CN = ANF Global Root CA OU = ANF Clase 1 CA O = ANF Autoridad de Certificación Asociación, ANF AC (Legal Entity) NIFG63287510 C = ES
SHA-256 fingerprint	E0AFBD2C0EE95A68CD9A3C590B2D3FE07C0A6D0BE796AE5291E424D47792178E
Applied policy	ETSI EN 319 411-2 V2.2.2 (2018-04), QCP-N, QCP-N-QSCD, QCP-L, QCP-L-QSCD, QCP-w

Identification of the audited Root-CA:	ANF Secure Server Root CA (expires 2039-08-30)
Distinguished Name	CN = ANF Secure Server CA OU = ANF CA Raiz O = ANF Autoridad de Certificación C = ES
SHA-256 fingerprint	FB8FEC759169B9106B1E511644C618C51304373F6C0643088D8BEFFD1B997599
Applied policy	ETSI EN 319 411-1 V1.2.2 (2018-04) DVCP, OVCP ETSI EN 319 411-2 V2.2.2 (2018-04), EVCP, QCP-W

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The audit was performed as full period of time audit remotely. It took place from 2021-04-07 until 2021-04-29 and covered the period from 2020-04-17 until 2021-04-17. The audit was performed according to the European Standards “ETSI EN 319 411-2, V2.2.2 (2018-04)”, “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 1.7.5” and “Baseline Requirements, version 1.7.4” considering the requirements of the “ETSI EN 319 403-1 V2.3.1 (2020-06)” and “ETSI TS 119 403-2 V1.2.4 (2020-11)” 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. 18332.1.9.1.1 CPS of ANF AC v.32 of 31/03/2021
2. 18332.3.1 CP Certificates for electronic signature v1.1 2021/03/02 (New Certification Policy for Certificates for electronic signature that gathers the different previous policies that of each one of the certificates issued by ANF AC of this type. The previous Policies can be consulted in the policy history on the ANF AC website.
3. 1.3.6.1.4.1.18332.25.1.1 CP Certificates for electronic Seal v1.8 19/02/2021
4. 1.3.6.1.4.1.18332.55.1.1 CP for SSL and Electronic Office v3.3.2. 31/03/2021

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

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

- PRESERVATION [ETSI 319 511] OVR-6.1: The ANF preservation policy (Servicio cualificado de conservación de firmas y sellos electrónicos cualificados (QEs) Declaración de prácticas y Política de Conservación OID 1.3.6.1.4.1.18332.61 version 1.1) doesn't give details about preservation with storage WST (example details on the process of requesting export-import package(s); production methods of the export-import package(s), management of data at the end of the preservation period).
- PRESERVATION [ETSI 319 511] PRP-8.1-11 [WST]: Are not defined the deletion activities regarding the stored POs and the corresponding SubDO as well.
- Validation service ETSI 319 441VPR-B-02: The Critical Access validation system uses a different library from the web tool Safe box and consequently in some circumstances the validation reports give different results (e.g. it does not accept all Qcstatements) (e.g. it does not accept all Qcstatements).
- [ETSI 319 521] REQ-ERDS-4.1.1, CPS and CPs are approved by the PKI Governing Board, published in its website available 24x7x365. <https://www.anf.es/en/repositorio-legal/> The web site has the 1.1 Policy. The last version, 1.2 of 04-12-2020, revision after the audit has not yet been published. Better describe the functionality regarding S&N style in ANF AC's Registered delivery platform (ex. how the recipient can accept or reject the incoming S&N message; how the sender may set a specific period for acceptance or rejection of S&N messages).

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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.

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	SHA256 Fingerprint	Applied policy OID	EKU
ANF Secure Server CA	306BF8099636A44FFB5EEDCE6E30C0F36C7D43F6CCA5A2CA3AB71668F353320	DVCP OVCP EVCP QCP-W	id-kp-serverAuth (1.3.6.1.5.5.7.3.1) id-kp-clientAuth (1.3.6.1.5.5.7.3.2)
ANF Assured ID CA1	FBE0EC01179E8F99CC58BFD2538AB11E757D18C6437A8DC9651910F4453CD4C5	QCP-N QCP-N-QSCD, QCP-L QCP-L-QSCD	Not present
ANF High Assurance AP CA1	42FC653B8E311DFE6B0E0BD00CDC11BD67FCFDB7D5940E7DB888F21F16A9FE09	QCP-N QCP-N-QSCD, QCP-L QCP-L-QSCD	Not present
ANF High Assurance EV CA1	A2F5B12C749106310A55F02C17ADFF76690BAEA7495F86A351F801EBE7F5E50B	TSU Certificate	Not present
ANF Assured ID CA1	AB339B2604E501F7B325EF7E98A69982FE46BB69FF6AB9832665962634FF3C6E	QCP-N QCP-N-QSCD, QCP-L QCP-L-QSCD	Not present
ANF High Assurance AP CA1	4DC54F4C5BDAC19557066E32F62F8C486B155B00F53D102DE78C98EE61A2C317	QCP-N QCP-N-QSCD, QCP-L QCP-L-QSCD	Not present
ANF High Assurance EV CA1	1C28A8C009F25850B9155533D4A9A14C534B24DA84756E82D6150B5062D63704	QCP-w	Not present

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

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