Audit report - EIDAS

Contract number: 7165016566

Entity registration number:

TÜV SÜD
Slovakia

AUDIT REPORT – LEVEL 2 AUDIT

Type of audit:	Certification
Basis for audit:	eIDAS
Audit date (on site):	2.st. 28.-29.04.2020
Organisation / client:	**brainit.sk, s. r. o.**
Street / P. O. Box:	Veľký Diel 3323
Postal code / city:	010 08 Žilina
Management representative for eIDAS:	Eduard Baraniak 0917 179 741; eduard.baraniak@brainit.sk
Lead auditor / Auditor:	Ing. Igor Straka / Ing. Stanislav Kmeť / Ing. Branislav Chmel
Technical expert / trainee:	-/-
Scope of validity:	Qualified trusted service for issuing and verifying qualified certificates for electronic signature Qualified trusted service for issuing and verifying qualified certificates for electronic seal Qualified trust service for the issuing and verifying qualified certificates for website authentication Qualified trust service for storing qualified electronic signatures Qualified trust service for storing qualified electronic seals
Scope of validity of the certificate:	**brainit.sk, s. r. o.**
EA code:	
Headquarters: *For matrix certification*:	-
Other production centers / branches (number):	-
Audited (number):	-
Attached Annexes *(tick if applicable)*:	☐ Audit report on deviations ☒ Updated audit plan ☐ Organisational scheme
Result of the review of the management and audit documentation:	☐ **ISO/IEC 27001:2013** requirements are not met ☐ Follow-up audit is required ☐ Submission of new documentation is required ☐ Recommended award of certificate ☒ Recommended continued validity of the certificate ☐ Recommended suspension / revocation of certificate
Follow-up audit - term:	06/2022

Date: 16.6.2020

Igor Straka

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      Lead auditor   Signature

1. Information about the organisation

1.1 General

The company brainit.sk, s. r. o. has been operating on the technology market since 2017, The portfolio of services, in addition to artificial intelligence, includes customized software solutions, database development and management, electronic signature, services in the field of inofrmation security or consulting in the field of information systems. The company is working to achieve registration on the EU list of trusted institutions for the provision of QTS under the EU eIDAS regulation.

The address of the organisation's registered office is given on the title page of this report.

The subject of the assessment/certification is:
Qualified trust service for the production and verification of qualified certificates for electronic signature
Qualified trust service for the production and verification of qualified certificates for electronic seal
Qualified trust service for the production and verification of qualified certificates for website authentication
Qualified trust service for storing qualified electronic signatures
Qualified trust service for storing qualified electronic seals

1.2 Current number of employees in the organisation involved in the QTS and the scope of the audit
The organisation currently employs 5 employees for activities related to the provision of QTS.
A total of 60 audit-hours have been set for the Level 2 audit based on the conclusions of the Level 1 audit, of which 42 audit-hours were on-site audit and 18 audit-hours were set for the preparation of the Level 2 audit report.

The exact scope of the audit can be seen from the attached audit plan, according to which a random check of the processes described was carried out.

Additional remarks: none

2. Changes since the last audit
No significant changes have been noted.

3. Findings from the last audit
The previous audit did not identify any findings, recommendations for improvement were considered by the company and implemented into the company's processes for selected areas. The results are available from the EIDAS Manager.

4. Conducting the audit

4.1 Audited requirements and procedure

The company brainit.sk, s. r. o. has a quality management system, information security and IT service management that meets the requirements of ISO/IEC 9001, ISO/IEC 27001 and ISO/IEC 20000:1.

The EIDAS audit found that the scope, boundaries and level of QTS provision consider the characteristics of the organisation, assets and technology. The applicability statement reflects the activities and defines the boundaries based on the risk analysis performed. The exclusions and action selections identified were accepted by the auditor given the scope of the EIDAS and the extent of QTS provided. The prerequisites for further improvement of the information security management system and eIDAS are in place. The information security management system is based on the application and use of documented procedures, monitoring the effectiveness of the measures applied to improve the processes of the system.

Regular management meetings are held to review the information security management system and eIDAS within the integrated management system and corrective actions on the results of internal audits, to meet the objectives set. Management provides the necessary resources (financial and organisational) to ensure the effectiveness of the management system.

During the audit, the auditor was able to satisfy himself as to the qualifications and professional experience of the staff examined. The organisational structure and staff responsibilities are established and traceable.

The assessment report shall record the findings
- **Part 1 of this report.** Assessment of compliance with the requirements for the operation of trust service providers as defined by the supervisory authority - as per "Requirements for the operation of trust service providers as defined by the supervisory authority - Checklist".
- **Part 2 of this report.** Evaluation of the requirements at least to the extent of the detail provided in the checklist in Annex A. The checklist is a tool for Certification Bodies to capture all relevant requirements for TSPs in accordance with the legislation, national extensions to the national trust infrastructure and the requirements of the national supervisory authority, according to the EIDAS Certification Scheme issued by the NSA. Part 2 of this report.
- **Part 3 of this report.** Evaluate verbally and individually for each article the compliance with the requirements listed for each assessed service in Chapter 5. Statements of compliance with the requirements should be presented together with a summary of the evidence relating to compliance with the requirements, and a conclusion on the appropriateness of the scope of certification should be provided for each assessed service.
- **Part 4 of this report.** Resulting assessments, taking into account the Stage 1 audit report and the assessment report Part 1-3, Recommendation for the issue of a certificate for certified services.

4.2 Positive remarks

- Management's approach to eIDAS

- active approach of the management representative for eIDAS

- the level of integrated management system in place

- employees' qualifications

- use of tools for continuous improvement

- results of process performance evaluation

- results and performance of internal audits

Others are presented in the summary table (see paragraph 5 of this report).

4.3   Established findings

The auditor of the certification authority TÜV SÜD Slovakia s. r. o. has reviewed the client's planned corrective actions, which are acceptable. No deviations (O) were found. The findings (Z), recommendations (D), or potential for improvement and positive comments are presented in Annex 1 together with the corresponding corrective actions. The findings (Z) do not, in the auditor's judgement, compromise the effectiveness of the eIDAS system. A follow-up of the status of implementation/effectiveness of the corrective actions will be carried out in the next audit.

However, given the random nature of the audit, there may be additional findings that were not identified during the audit.

Additional notes:

No.	Product name	Certification scheme	Standards, regulations
1	Qualified trusted service for issuing and verifying qualified certificates for electronic signature	NBÚ certification scheme	Regulation (EU) No. 910/2014: art. 5, 8, 11(3), 13, 15, 17(5), 19, 21, 22, 23, 24, 26, 27, 28, 29, 31, Annex I and II.
2	Qualified trusted service for issuing and verifying qualified certificates for electronic seal	NBÚ certification scheme	Regulation (EU) No. 910/2014: art. 5, 8, 11(3), 13, 15, 17(5), 19, 21, 22, 23, 24, 29, 31, 36, 37, 38, 39, Annex II and III.
3	Qualified trust service for the issuing and verifying qualified certificates for website authentication	NBÚ certification scheme	Regulation (EU) No. 910/2014: art. 5, 8, 11(3), 13, 15, 17(5), 19, 21, 22, 23, 24, 45, Annex IV.
6	Qualified trust service for storing qualified electronic signatures	NBÚ certification scheme	Regulation (EU) No. 910/2014: art. 5, 8, 11(3), 13, 15, 17(5), 19, 21, 22, 23, 24, 34 and optional services No. 4.
7	Qualified trust service for storing qualified electronic seals	NBÚ certification scheme	Regulation (EU) No. 910/2014: art. 5, 8, 11(3), 13, 15, 17(5), 19, 21, 22, 23, 24, 34, 40 and optional services No. 5.

Recommendation to issue a certificate for audited QTS service and to use the eIDAS and TÜV SÜD Slovakia brand

The certificate and the mark will be used in a permitted manner, i.e. in accordance with the rules of CO SM TÜV SÜD Slovakia s. r. o. and without any link to the products.

Complaints handling

The Company has procedures for tracking customer complaints, they are investigated when they occur and the Company takes appropriate action.

5. Conclusion

☑ **the way eIDAS has been implemented entitles the certificate for audited services**
❑ audit manager recommends further duration of the certificate for audited services
❑ the head of audit does not recommend the continued validity of the certificate for audited services
☑ the next audit is planned as recertification audit in the period 06.2022 according to the audit program
Tre certification point must be informed of any significant changes in telation to the ISMS.

Additional notes: none

6. Guidelines

The recertification audit shall be carried out during the period of validity of the certificate within two years at the latest. The date of the certification or recertification audit (the last day of the second level audit) shall be decisive for determining the date of the recertification audit. A date of -3/+0 months relative to the last day of the second level audit is acceptable. The exact date of the audit will be agreed in due time through the lead auditor with the organisation.
For the preparation of the next audit, the client shall prepare information on the status of implementation of corrective actions according to Annex 1 of the audit report.

Attachments:
Annex 1: List of findings and recommendations for improvement
- **Report Annex - Part 1:** Evaluation of the fulfilment of the requirements for the operation of trust service providers defined by the supervisory authority - according to the "Requirements for the operation of trust service providers defined by the supervisory authority - Checklist".
- **Report Annex - Part 2:** Evaluation of the requirements at least to the extent of the details set out in the checklist in Annex A. The checklist is a tool for Certification Bodies to capture all relevant requirements for TSPs in accordance with legislation, national extensions to the National Trust Infrastructure and the requirements of the National Supervisory Authority, according to the EIDAS Certification Scheme issued by the NBÚ.
- **Report Annex - Part 3.** Evaluate verbally and individually for each article the compliance with the requirements listed for each assessed service in Chapter 5. Statements of compliance with the requirements should be presented together with a summary of the evidence relating to compliance with the requirements, and a conclusion on the appropriateness of the scope of certification should be given for each assessed service.
- **Report Annex - Part 4.** Resulting assessments, considering the Stage 1 audit report and the assessment report Part 1-3, Recommendation for the issue of a certificate for certified services.

Divider:
- Customer
- Certification authority SM TÜV SÜD Slovakia s. r. o.