



Level 1. audit report
Contract number: **7165025035**
Entity registration number:



Slovakia

AUDIT REPORT – LEVEL 1 AUDIT WITH REVIEW OF DOCUMENTATION

Type of audit:	Certification
Basis for audit:	eIDAS
Audit date (on site):	1.st. 27.04.2020 2.nd. 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:	[REDACTED]
Lead auditor / Auditor:	[REDACTED]
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
EA code:	
Attached Annexes (tick if applicable):	Updated audit plan for level 1 audit Audit report on deviations Organisational chart
Conclusion of the documentation review: (tick if applicable):	☒ eIDAS documentation requirements are complete ☐ New documentation is required ☒ eIDAS requirements are mostly completed, before Level 2 audit, improvements are possible Level 2 can be carried out The result is documented in a separate report
Overall conclusion of level 1 audit (tick if applicable):	☒ eIDAS documentation requirements are met ☐ New documentation needs to be sent ☐ eIDAS requirements are (mostly) fulfilled, before level 2 audit possible to improve ☒ Level 2 audit can be carried out The result is documented in a separate report
Scheduled date of the level 2 audit:	28.-29.04.2020

Date: 27.4.2020



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

[Redacted]

Lead auditor

[Redacted]

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 information 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

Level 1 audit was carried out in the above-mentioned organisation by the auditors of the certification authority TÜV SÜD Slovakia s. r. o. based on the standard

- Regulation (EU) No 910/2014, NBÚ certification scheme as amended
- QTS Supervisor scheme
- Implementing decisions and eIDAS Regulations
- Certification policy for root CA and TS with qualified status granted by the NBÚ
- Certification and signature policies published by the NBÚ
- REGULATION (EU) 2016/679
- ETSI EN 319 401
- ETSI EN 319 522-1
- ETSI EN 319 522-2
- ETSI EN 319 522-3
- ETSI EN 319 522-4-1
- ETSI EN 319 522-4-2
- ETSI EN 319 522-4-3
- ETSI EN 319 532-1
- ETSI EN 319 532-2
- ETSI EN 319 532-3
- ETSI EN 319 532-4
- ISO/IEC 27000 family of standards



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

The report is structured according to the standard method used by the certification authority TÜV SÜD Slovakia s. r. o.

Additional remarks: none

1.2 Current number of employees in the organisation and scope of the audit

The organisation currently employs 5 employees for activities related to the provision of QTS. Based on an assessment of the scope of certification in the organisation, a total of 34 audit hours were identified for the Level 1 audit, of which 24 audit hours were identified for review of documentation with on-site audit and a total of 10 audit hours were identified to produce the Level 1 audit report.

A total of 60 audit hours were allocated for the Level 2 audit based on the conclusions of the Level 1 audit, of which 42 audit hours were allocated for the on-site audit and a total of 18 audit hours were allocated 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 spot check of the processes described was carried out.

Additional remarks: none

2. Overall QTS assessment

2.1 General – system description

The scope of the audit included the requirements for the provision of these QTS services:

- Security requirements and rules
- Liability for damages in the provision of trust services
- QTSP requirements
- EU Trustmark

The level 1 audit included a review of documentation and an assessment of the basic requirements for QTSP.

Additional remarks: none

2.1. Documentation

The QTSP documentation is structured:

- Security requirements and rules
- Liability for damages in the provision of trust services
- QTSP requirements
- EU Trustmark

2.2. Review of documentation



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

- ✓ documentation sufficiently describes the structure and interfaces, covers the basic eIDAS requirements and their interactions
- ✓ defines the scope and boundaries of eIDAS
- ✓ documentation is maintained and available in an up-to-date form
- ✓ a documented security policy is available for the QTS
- ✓ action objectives and individual risk management actions are defined, including a risk management plan, and management has agreed residual risks
- ✓ resources, roles, responsibilities and authorities within eIDAS are documented
- ✓ documents and records are managed, record retention periods are documented
- ✓ the organisation ensures that internal audits are conducted at planned intervals with a comprehensive audit programme that sets out areas of use, frequency and methods of review, responsibilities, auditor authority, audit requirements and reporting
- ✓ there are written provisions to document the review of the EIDAS by senior management, reviewing: audit results, objectives, goals, suitability of the system, stakeholder interests

No outliers (O) were detected. The findings (Z), recommendations (D), or potential for improvement and positive remarks are presented in Annex 1 together with the corresponding corrective actions

The above findings are to be corrected by level 2 audit. Uncorrected findings become deviations which may lead to discontinuation of the audit.

Part 1: Security requirements and rules

No.	Document/record under assessment	HOD 1,2,3	Description / Recommendation
1	The organisational structure of the part of the company providing QTS	1	Introductory presentation of the company, organizational structure, roles Company headquarters: Veľký diel 3323, 01008 Žilina. Lease agreement - 1312020nájom-NFQES.doc
2.1	Premises for the provision of trust services - title deed / lease agreement		NFQES zmluva rackhousing DC Digitalis.pdf NFQES zmluva rackhousing SHC3.pdf
2.1.4	Regime measures for physical security	1	Physical security 04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx
2.2	Security policy - QTSP elements included	1	Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx 04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_1_ZÁSADY_PRIJATEĽNÉHO_POUŽÍVANIA_v1. A08_2_POLITIKA_PRE KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx ISMS A09_2_POLITIKA_PRÍSTUPOVÝCH HESIEL_v1.docx A12_2_POLITIKA_ZALOHOVANIA_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx
2.2.4	the classification of the information (on what basis the information will be classified in the organisation)	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_2_POLITIKA_PRE KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx
2.2.6	Risk management methodology, including the determination of the limit of accepted risk according to 27k1	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx Preškolenie_oprávnených_osôb_v1.docx



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

			A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx
2.2.7.1	Internal audit records	1	Report on the results of the company's internal audit ISMS 2020
2.2.7.2	Security incidents records	1	Register incidentov 2020, Manažerske review ISMS 2020 MANAŽÉRSKE_PRESKÚMANIE_ZÁPIS.docx
2.2.7.3	Risk assessment records	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx Preškolenie oprávnených osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx MANAŽÉRSKE_PRESKÚMANIE_ZÁPIS.docx
2.2.7.4	Security assessment – management review	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx Preškolenie oprávnených osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx MANAŽÉRSKE_PRESKÚMANIE_ZÁPIS.docx
2.2.8	Documented Incident Management Process	1	AR_BrainIT_v1.xlsx A16_INCIDENT MANAŽMENT PO_01_AnalyzaRizik_v1.docx Preškolenie oprávnených osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx MANAŽÉRSKE_PRESKÚMANIE_ZÁPIS.docx
2.2.9	Documented BCM Process	1	A17_01_Politika_BCM_v1_v1.docx PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukoncenia_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
2.2.10	Security policy management review report	1	MANAŽÉRSKE_PRESKÚMANIE_ZÁPIS_2020.docx
2.2.11	Handling of classified information in both paper and electronic form must be included (transmission, copying, storage, shredding retention period)	1	04_POLITIKA_INFORMACNEJ_BEZPEČNOSTI_v1.docx A08_1_ZÁSADY_PRIJATEĽNÉHO_POUŽÍVANIA_v1. A08_2_POLITIKA_PRE KLASIFIKACIU_INFORMACIÍ_v1.docx A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx ISMS A09_2_POLITIKA_PRÍSTUPOVÝCH HESIEL_v1.docx A12_2_POLITIKA_ZALOHOVANIA_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx
2.2.12	Obligations of individual entities in relation to safety - e.g. safety addressed in employee contract, 3. - Supplier management policy	1	Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx SM_12_NavrhRoli.docx
2.3	Documentation prepared in accordance with GDPR	1	OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzko vateľa_v1.pdf Preškolenie oprávnených osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

2.3.1	Management of prescribed records under the GDPR	1	OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzkovateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx
2.3.1.1	List/definition of information to be protected under the QTS	1	OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzkovateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx
2.3.1.2	General requirements for overall security	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_1_ZÁSADY_PRIJATEĽNÉHO_POUŽÍVANIA_v1 A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx ISMS A09_2_POLITIKA_PRÍSTUPOVÝCH_HESIEL_v1.docx A12_2_POLITIKA_ZALOHOVANIA_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1. OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzkovateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukoncenia_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
2.3.2	Guidelines related to the performance and recording of provided trust services	1	Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx SM_12_NavrhRoli.docx
2.3.4	Infrastructure risk analysis	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1 OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzkovateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx
2.3.5	Description of the security risks associated with the provision of trust services	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1 Preškolenie_oprávnených_osôb_v1.docx SOA ako súčasť ISO 27001



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

2.3.6	Description of security measures to mitigate identified security risks	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1 Preškolenie_oprávnených_osôb_v1.docx SOA ako súčasť ISO 27001
2.3.7	Description of the deployment, use and control of security measures	1	AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1 Preškolenie_oprávnených_osôb_v1.docx SOA ako súčasť ISO 27001
2.4	Disaster plan	1	PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceni_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
2.4.2	Recovery plan	1	PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceni_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
2.5	Security guidelines - e.g. ISMS documentation plus records	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_1_ZÁSADY_PRIJATEĽNÉHO_POUŽÍVANIA_v1 A08_2_POLITIKA_PRE KLASIFIKÁCIU_INFORMÁCIÍ_v1.docx A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx A09_2_POLITIKA_PRÍSTUPOVÝCH_HESIEL_v1.docx A12_2_POLITIKA_ZALOHOVANIA_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v 1.docx AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1 OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzko vateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKÁCIU_INFORMÁCIÍ_v 1.docx OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx A17_01_Politika_BCM_v1_v1.docx PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceni_Cinnosti_v1.docx Testovanie_obnovy_v1.docx PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Praca_s_kartami_HSM.docx SM_11_Praca_s_HSM.docx SM_12_Navrh_Roli.docx SP_01_Príloha_Zoznam_Zariadení.docx
2.5.1	Access and password management	1	A09_1_POLITIKA_RIADENIE_PRÍSTUPU_v1.docx ISMS A09_2_POLITIKA_PRÍSTUPOVÝCH HESIEL_v1.docx
2.5.2	Documented procedure for backing up data and storing media with backup copies of data	1	SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.do cx PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceni_Cinnosti_v1.docx Testovanie_obnovy_v1.docx



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

2.5.3	Documented procedures for accidents and malfunctions	1	SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx PP_14_Zalohovanie_ABB_v1.docx SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukoncenia_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
2.5.6	Documented principles for working with the media	1	A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx
2.5.7	Documented management of security equipment	1	PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Praca_s_kartami_HSM.docx SM_11_Praca_s_HSM.docx SM_12_Navrh_Roli.docx SP_01_Príloha_Zoznam_Zariadení.docx AR_BrainIT_v1.xlsx PO_01_AnalyzaRizik_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx OOU_GDPR_v1.docx Záznam_o_spracovateľských_činnostiach_prevádzkovateľa_v1.pdf Preškolenie_oprávnených_osôb_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx
2.5.8	Documented procedure for classifying information and systems	1	A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx
2.5.9	Documented policies for the safe behaviour of users and administrators	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_1_ZÁSADY_PRIJATEĽNÉHO_POUŽÍVANIA_v1.docx
2.5.10	Description of monitoring and detection of unauthorised activities	1	SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx Testovanie_obnovy_v1.docx

Part 2: • Liability for damages in the provision of trust services

No.	Document/record under assessment	HOD 1,2,3	Description / Recommendation
3.1	Information on the obligations of certificate providers/TSP	1	All terms and conditions are listed on the provider's website. Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx
3.1.1	Liability of certificate providers/TSPs for damages	1	NAVRH_PZ_d1_BRAIN_IT_2020_Liab.pdf PZ_Allianz_Dodatok č.1_411027497_eIDAS.pdf plnenie na 600.000,- EUR.
3.1.2	Description - contractual terms and obligations for certificate providers/TSP	1	NAVRH_PZ_d1_BRAIN_IT_2020_Liab.pdf PZ_Allianz_Dodatok č.1_411027497_eIDAS.pdf plnenie na 600.000,- EUR.
3.2	TSP liability information	1	Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx
3.2.1	Contractual conditions and obligations for the TSP	1	Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx
3.2.1	TSP liability insurance for damages caused in the provision of trust services	1	NAVRH_PZ_d1_BRAIN_IT_2020_Liab.pdf PZ_Allianz_Dodatok č.1_411027497_eIDAS.pdf plnenie na 600.000,- EUR.



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

3.3	Contracts with external entities	1	External entities involved in the provision of TS are exclusive QTSPs, registered in the EU trust list.
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Part 3: • QTSP requirements

No.	Document/record under assessment	HOD 1,2,3	Description / Recommendation
5.1	Model contracts for the issue and use of QC	1	All terms and conditions, including model contracts are available on the provider's website. Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx
5.1.1	Number of model contracts and their identification	1	All terms and conditions, including model contracts are available on the provider's website.
5.1.2	Procedure for issuing and accepting the first certificate to a QC applicant	1	All terms and conditions, including model contracts, are available on the provider's website
5.1.3	Procedure for issuing and accepting a subsequent certificate	1	All terms and conditions, including model contracts, are available on the provider's website
5.1.4	QTSP commitments	1	All terms and conditions, including model contracts are available on the provider's website
5.1.5	Commitments of QC holders	1	All terms and conditions, including model contracts, are available on the provider's website
5.1.6	Possible limitation of liability of QTSPs in case of violation of rules for issuing and handling qualified certificates by QC applicants	1	All terms and conditions, including model contracts, are available on the provider's website
5.1.7	Confirmation of the issue of the QC and its delivery to the applicant	1	All terms and conditions, including model contracts, are available on the provider's website
5.2	Personnel requirements for QTSP	1	SM_12_Navrh_Roli.docx " Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx
5.2.1	Demonstrable familiarity of persons designated to act in relation to the provision of trust services with documentation and directives	1	SM_12_Navrh_Roli.docx " Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx
5.2.2	Retraining of persons to ensure that their qualifications are appropriate to the activities to be carried out	1	SM_12_Navrh_Roli.docx " Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx
5.3	Procedures and practices for the use of trusted systems and products	1	Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx Key pair generation ceremony - record 2020
5.3.1	Procedures and practices for generating QTSP pairwise data	1	Key pair generation ceremony - record 2020
5.3.2	Procedures and practices for generating QC applicant pair data	1	Key pair generation ceremony - record 2020
5.3.5	Procedures and practices for archiving certificates	1	N/A
5.3.7	Procedural security control	1	A12_2_POLITIKA_ZALOHOVANIA.docx PP_14_Zalohovanie_ABB.docx Internal audit 2020 Management review 2020 ISMS
5.3.8	Physical security control	1	Internal audit 2020 Management review 2020 ISMS



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

5.3.9	Security control	1	Internal audit 2020 Management review 2020 ISMS
5.3.10	Description - Technical specifications for the provision of trust services	1	All terms and conditions are listed on the provider's website. Business_NFQES_v1.docx Politika_NFQES_v1.docx Všeobecné_podmienky_v1.docx Certifikačná_politika_v1.docx
5.3.10.1	Description - data formats	1	" Business_NFQES_v1.docx
5.3.11	Organisational arrangements for the provision of trust services	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx
5.4	Requirements for products used in the provision of QTS: ([1] Art. 3(21) and Art. 24(2)(e))	1	External entities involved in the provision of TS (Qualified Electronic Signature and Time Stamp) are exclusive QTSPs, registered in the EU trust list fulfilling the requirements for QTSP.
5.4.1	Description of the location and use of the QTSP cryptographic device	1	PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Pracas_kartami_HSM.docx HSM SM_11_Pracas_HSM.docx SM_12_Navrh_Roli.docx SP_01_Príloha_Zoznam_Zariadení.docx
5.4.2	Access control to the QTSP cryptographic device	1	PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Pracas_kartami_HSM.docx HSM SM_11_Pracas_HSM.docx SM_12_Navrh_Roli.docx SP_01_Príloha_Zoznam_Zariadení.docx
5.4.3	Procedure for backing up data and storing media with backup copies of data	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceniá_Cinnosti_v1.docx Testovanie_obnovy_v1.docx
5.4.4	Crashes and malfunctions using the electronic signature product	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceniá_Cinnosti_v1.docx Testovanie_obnovy_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx
5.4.5	Procedures for crashes and infrastructure failures threatening the operation of the electronic signature product, its security as well as the security of backup copies of data	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceniá_Cinnosti_v1.docx Testovanie_obnovy_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx
5.4.6	Procedure for crashes and malfunctions threatening the authenticity and integrity of the certification services provided	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceniá_Cinnosti_v1.docx Testovanie_obnovy_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx
5.4.7	Ensuring the operation of QTSP cryptographic equipment in emergency or disaster situations	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukonceniá_Cinnosti_v1.docx Testovanie_obnovy_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Pracas_kartami_HSM.docx HSM SM_11_Pracas_HSM.docx SM_12_Navrh_Roli.docx
5.4.8	Principles of working with the media	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx PO_09_Zasady_prace_s_mediami_v1.docx



Level 1. audit report

Contract number:

Entity registration number:



Slovakia

			A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx
5.4.1 1	Principles of secure behaviour for users and administrators of electronic signature products	1	PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Pracas_kartami_HSM.docx HSM SM_11_Pracas_HSM.docx SM_12_Navrh_Roli.docx
5.4.1 4	Security procedures associated with the provision of QTS	1	PO_08_Bezpecnostny_Projekt_HSM.docx SM_10_Pracas_kartami_HSM.docx HSM SM_11_Pracas_HSM.docx SM_12_Navrh_Roli.docx
5.5.1. 2.2	Definition of responsibility for the security of personal data under the GDPR	1	Je definovaný DPO na základe zmluvy. OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx A17_01_Politika_BCM_v1_v1.docx
5.5.1. 2.3	Records of the instruction of authorised persons for operations with personal data and the obligation of confidentiality	1	Je definovaný DPO na základe zmluvy. OOU_GDPRA_v1.docx Určenie_DPO_v1.docx, Poverenie_poučenie_OO_v_zmysle_GDPR_v1.docx Politika_spracovania_osobných_údajov_v1.docx A17_01_Politika_BCM_v1_v1.docx
5.7.4	Information on the conduct of audits, Internal, external including reports	1	04_POLITIKA_INFORMAČNEJ_BEZPEČNOSTI_v1.docx A08_2_POLITIKA_PRE_KLASIFIKACIU_INFORMACIÍ_v1.docx Interný audit 2020 Manažerske review ISMS 2020
5.8	Procedures for termination of QTS provision	1	PP_14_Zalohovanie_ABB_v1.docx BCM SM_06_Plan_Obnovy_v1.docx SM_07_Plan_Ukoncenia_Cinnosti_v1.docx Testovanie_obnovy_v1.docx SM_09_Riesenie_Bezpecnostnych_Incidentov_v1.docx

Part 4: EU Trustmark

No.	Document/record under assessment	HOD 1,2,3	Description/Recommendation
6.1	How to use the trustmark		N/A

3. Conclusion

- ✓ The data provided in the admission questionnaire were confirmed. The planned overall scope of the audit is sufficient.
- ✓ The EIDAS implementation method justifies the move to a level 2 audit.

Based on the review of the client's management system documentation, the auditors of the certification authority TÜV SÜD Slovakia s. r. o. conclude that the documentation requirements have been met and it is possible to proceed to a level 2 audit.

Additional notes: none

Divider:

- Customer
- Certification authority TÜV SÜD Slovakia s. r. o.