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## AUDIT STATEMENT REPORT - I.CA ETSI ASSESSMENT 2024

# I.CA ROOT CA/ECC 12/2016

NO. PCEB-N 24/05/04

### Part I: Basic information

#### Conformity assessment body (CAB, auditor name):

TAYLLORCOX PCEB,  
TAYLLORCOX s.r.o.  
Identification No.: 279 02 587  
Na Florenci 1055/35  
Praha 1 - Nové Město  
CZ 110 00  
Czech Republic

Audit team: Ing. Martin Dudek (Lead auditor)  
Ing. Radek Nedvěď (Head of CAB)

#### Identification of the trust service provider (CA name):

První certifikační autorita a.s. (hereinafter also I.CA)  
Identification No.: 264 39 395  
Podvinný mlýn 2178/6  
Praha 9 - Libeň  
CZ 190 00  
Czech Republic

#### Identification of the audited Root CA:

Subject Distinguished Name	CN = <b>I.CA Root CA/ECC 12/2016</b> O = První certifikační autorita, a.s. organizationidentifier = NTRCZ-26439395 C = CZ
Certificate Serial Number	05 f5 e1 01
SHA-256 fingerprint	b8 69 21 48 ff 49 c3 79 9f a2 34 7a e2 8b cc 52 89 62 35 12 b6 7d c1 91 70 45 2a de 24 ba 51 d5
Applied policy requirements	ETSI EN 319 411-1 V1.4.1 (2023-10) policies NCP, NCP+, ETSI EN 319 411-2 V2.5.1 (2023-10) policies policies QCP-n, QCP-n-qscd, QCP-l, QCP-l-qscd

## Part II: Conformity evaluation of service

**ETSI EN 319 411-1 V1.4.1 (2023-10)** Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements

and

**ETSI EN 319 411-2 V2.5.1 (2023-10)** Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 2: Requirements for trust service providers issuing EU qualified certificates

## PART III: AUDIT INFORMATION

### 1.1 Audit period

The audit was performed as **full annual audit**, the audit period covered:

**Audit period start date:** 10/05/2023

**Audit period end date:** 09/05/2024

### 1.2 Audit scope

#### 1.2.1 "HIERARCHICAL CERTIFICATE ISSUING AND MANAGEMENT SYSTEM"

compliance with:

1. ETSI EN 319 411-2 V2.5.1 (2023-10) policies:
  - a) QCP-n: certificate policy for EU qualified certificate issued to natural persons (for advanced electronic signatures)
  - b) QCP-n-qscd: certificate policy for EU qualified certificates issued to natural persons with private key related to the certified public key in a QSCD (for qualified electronic signatures)
  - c) QCP-l: certificate policy for EU qualified certificate issued to legal persons (for advanced electronic seals)
  - d) QCP-l-qscd: certificate policy for EU qualified certificate issued to legal persons with private key related to the certified public key in a QSCD (for qualified electronic seals)
2. ETSI EN 319 411-1 V1.4.1 (2023-10) policies:
  - a) NCP: Normalized Certificate Policy
  - b) NCP+: Normalized Certificate Policy requiring a secure cryptographic device

The system consists of off-line root certification authority (I.CA Root CA/ECC 12/2016) issuing certificates for subordinate CAs:

- a) I.CA Qualified 2 CA/ECC 06/2019,
- b) I.CA Public CA/ECC) 12/2016.

These subordinate CAs are issuing certificates for end users.

## 1.2.2 INFORMATION SECURITY RISK ANALYSIS

Information security risk analysis of trustworthy systems supporting "Hierarchical certificate issuing and management system" performed as a part of ETSI EN 319 411-1 and ETSI EN 319 411-2 requirements.

## 1.3 Audit requirements

### 1.3.1 Certification services provided by I.CA hierarchical structure of I.CA CAs

1. ETSI EN 319 401 V2.3.1 (2021-05) Electronic Signatures and Infrastructures (ESI); General Policy Requirements for Trust Service Providers
2. ETSI EN 319 411-1 V1.4.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements (policies NCP, NCP+)
3. ETSI EN 319 411-2 V2.5.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 2: Requirements for trust service providers issuing EU qualified certificates (policies QCP-n, QCP-n-qscd, QCP-l, QCP-l-qscd)
4. ETSI EN 319 412-1 V1.5.1 (2023-09) Electronic Signatures and Infrastructures (ESI); Certificate Profiles; Part 1: Overview and common data structures
5. ETSI EN 319 412-2 V2.3.1 (2023-09) Electronic Signatures and Infrastructures (ESI); Certificate Profiles; Part 2: Certificate profile for certificates issued to natural persons
6. ETSI EN 319 412-3 V1.3.1 (2023-09) Electronic Signatures and Infrastructures (ESI); Certificate Profiles; Part 3: Certificate profile for certificates issued to legal persons
7. ETSI EN 319 412-5 V2.4.1 (2023-09) Electronic Signatures and Infrastructures (ESI); Certificate Profiles; Part 5: QCStatements
8. CEN/TS 419261 March 2015 Security requirements for trustworthy systems managing certificates and timestamps
9. ETSI TS 119 312 V1.4.3 (2023-08) Electronic Signatures and Infrastructures (ESI); Cryptographic Suites

### 1.3.2 I.CA's information security risk analysis

1. ETSI EN 319 411-1 V1.4.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements
2. ETSI EN 319 411-2 V2.5.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 2: Requirements for trust service providers issuing EU qualified certificates
3. ISO/IEC 27002:2013 Information technology Security techniques - Information security management systems - Code of practice for information security controls

## 1.4 Audit targets

### 1.4.1 CERTIFICATION SERVICES PROVIDED BY HIERARCHICAL STRUCTURE OF I.CA CAs

#### A. I.CA ROOT CA/ECC 12/2016

<b>Issuer</b>	CN = I.CA Root CA/ECC 12/2016
<b>Subject Distinguished Name</b>	CN = <b>I.CA Root CA/ECC 12/2016</b> O = První certifikační autorita, a.s. organizationidentifier = NTRCZ-26439395 C = CZ
<b>Certificate Serial Number</b>	05 f5 e1 01
<b>SHA-256 fingerprint</b>	b8 69 21 48 ff 49 c3 79 9f a2 34 7a e2 8b cc 52 89 62 35 12 b6 7d c1 91 70 45 2a de 24 ba 51 d5
<b>Applied policy requirements</b>	ETSI EN 319 411-1 V1.4.1 (2023-10) policies NCP, NCP+ ETSI EN 319 411-2 V2.5.1 (2023-10) policies QCP-l, QCP-n, QCP-l-qscd, QCP-n-qscd
<b>Policy and practice statement documents of the TSP</b> (versions valid within audit period)	"Certifikační politika kořenové certifikační autority (kryptografie EC)" "The Root Qualified Certification Authority Certification Policy (EC Cryptography)" "Certifikační prováděcí směrnice (kryptografie EC)" " The Certification Practice Statement (EC Cryptography)" "Certifikační politika vydávání certifikátů OCSP respondérů (kryptografie EC)" "The Certificate Policy for Issuing Certificates for OCSP Responders (EC Cryptography)"

#### B. I.CA QUALIFIED 2 CA/ECC 06/2019

<b>Issuer</b>	I.CA Root CA/ECC 12/2016
<b>Subject Distinguished Name</b>	CN = <b>I.CA Qualified 2 CA/ECC 06/2019</b> O = První certifikační autorita, a.s. organizationidentifier = NTRCZ-26439395 C = CZ
<b>Certificate Serial Number</b>	05 f5 e5 09
<b>SHA-256 fingerprint</b>	b7 fa c2 7a a6 88 e9 73 6c b6 3b bb 0c 8a a4 01 75 f6 a3 ea 6e 25 14 d7 34 31 1d ca c9 b5 a5 45
<b>Applied policy requirements</b>	ETSI EN 319 411-2 V2.5.1 (2023-10) policies QCP-n, QCP-n-qscd, QCP-l, QCP-l-qscd
<b>Policy and practice statement documents of the TSP</b> (versions valid within audit period)	"Certifikační politika vydávání kvalifikovaných certifikátů pro elektronické podpisy (kryptografie EC)" "Certifikační politika vydávání kvalifikovaných certifikátů pro elektronické pečeti (kryptografie EC)" "Certifikační politika vydávání certifikátů OCSP respondérů (kryptografie EC)" "Certifikační prováděcí směrnice (kryptografie EC)"

C. I.CA Public CA/ECC 12/2016

<b>Issuer</b>	CN = I.CA Root CA/ECC 12/2016
<b>Subject Distinguished Name</b>	CN = <b>I.CA Public CA/ECC 12/2016</b> O = První certifikační autorita, a.s. organizationidentifier = NTRCZ-26439395 C = CZ
<b>Certificate Serial Number</b>	05 f5 e4 f0
<b>SHA-256 fingerprint</b>	a6 8f 0d e7 8d b7 c0 2a 78 bb 44 cc 46 92 9e 67 88 39 c8 93 54 0c 09 3f c7 41 3e 9e 31 25 a6 96
<b>Applied policy requirements</b>	ETSI EN 319 411-1 V1.4.1 (2023-10) policies NCP, NCP+
<b>Policy and practice statement documents of the TSP</b> (versions valid within audit period)	"Certifikační politika vydávání komerčních certifikátů (kryptografie EC)" "Certifikační politika vydávání komerčních technologických certifikátů (kryptografie EC)" "Certifikační politika vydávání certifikátů OCSP respondérů (kryptografie EC)" "Certifikační prováděcí směrnice (kryptografie EC)"

#### 1.4.2 I.CA's information security risk analysis

The target of audit, the I.CA's Information security risk analysis of trustworthy systems supporting "Hierarchical certificate issuing and management system", is described by the information contained in the internal, I.CA classified, documentation:

Approach to the information security risk assessment and treatment:

"Přístupy k posuzování a ošetřování rizik bezpečnosti informací - důvěryhodné systémy", version 3.4 as of 20/04/2023, I.CA

Scope of the information security management system (ISMS):

"Rozsah ISMS - důvěryhodné systémy", version 6.1 as of 30/04/2024, I.CA

Information security risk assessment and treatment:

"Analýza rizik - Důvěryhodné systémy Závěrečná zpráva", version 1.8 as of 30/04/2024, I.CA

"Výběr protipatření - důvěryhodné systémy", version 2.1 as of 01/11/2023, I.CA

"Zbytková rizika - důvěryhodné systémy", version 3.1 as of 01/11/2023, I.CA

As a part of the process of continuous improvement of provided services, the company První certifikační autorita, a.s. was assessed for the compliance of the internal implementation of Information Security Management System (ISMS) with the requirements of ISO/IEC 27001:2013 by the independent external audit last year. The scope of ISMS of the company První certifikační autorita, a.s. includes the usage of all internal systems used on the provision of trust services within the meaning of the eIDAS Regulation (Regulation (EU) No 910/2014 of the European Parliament and of the Council on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC) activities. The result of the audit is Certificate No. 2211217661, valid until 20.11.2025.

## 1.5 Audit workflow

### Schedule of audit:

Date	Activity
5.5.2024	Stage 1 audit – verification of I.CA’s documentation Location: Office of Auditor (TAYLLORCOX PCEB)
16.5.2024	Stage 2 audit – on site audit Location: Headquarters and operational premises of I.CA company
17.5.2024	Qualifying Attestation Letter, Audit Statement Report Location: Office of Auditor (TAYLLORCOX PCEB)

### Methodology:

1. ETSI EN 319 403-1 V2.3.1 (2020-06) "Electronic Signatures and Infrastructures (ESI); Trust Service Provider  
Conformity Assessment - Requirements for conformity assessment bodies assessing Trust Service Providers"
2. ETSI TS 119 403-2 V1.3.1 (2023-03) "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 2: Additional requirements for Conformity Assessment Bodies auditing Trust Service Providers that issue Publicly-Trusted Certificates"
3. ETSI TS 119 403-3 V1.1.1 (2019-03) "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 3: Additional requirements for conformity assessment bodies assessing EU qualified trust service providers"
4. ISO/IEC 17065:2012 Conformity assessment - Requirements for bodies certifying products, processes and services.

### Documentation and procedures:

Policies and practices that rule the provision and operation of the certification services

Policies and practices to the information security risk assessment and treatment

## 1.6 QUALIFYING ATTESTATION LETTER

The Qualifying Attestation Letter is a separate annex to this report. It was issued together with this report and contains the same identifier PCEB-N 24/05/04.

#### Part IV: Audit conclusion

Auditor confirms that the examination of I.CA's "Hierarchical certificate issuing and management system" supporting EC Cryptography (chapter 1.4.1) and "Information security risk analysis of its supporting trustworthy systems" (chapter 1.4.2) was conducted in accordance with ETSI standards, in particular EN 319411-1, EN 319411-2, EN 319 403-1, TS 119 403-2 and TS 119 403-3.

The results of examination based on auditor's observations, review of relevant documentation (including web www.ica.cz) and test of administrative and operational procedures and implemented respective controls concluded to the auditor's statement that audited certification services of the company První certifikační autorita, a.s.

**comply**

with requirements of ETSI EN 319 411-1 V1.4.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements and of ETSI EN 319 411-2 V2.5.1 (2023-10) Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 2: Requirements for trust service providers issuing EU qualified certificates.

#### Part V: Signature and confirmation of audit report

Signature of lead auditor:

Ing. Martin Dudek

Praha: 21/05/2024