



**AS Sertifitseerimiskeskus**

**Certification Service and  
Time-Stamping Service  
Provider's Information System  
Audit Report  
(translation from Estonian)**

Advisory

November 2013

This report contains 6 pages

**Certification Service and Time-Stamping Service Provider  
Information System Audit Report 2013**

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# **1 Summary**

## **1.1 The objective of the audit**

Our objective is to carry out AS Sertifitseerimiskeskus information systems' audit according to the regulation No. 83 of the Minister of Transport and Communications (October 3, 2000), titled "Auditing procedure of the service providers' information systems". The regulation regulates the auditing process of the certification and time-stamping service provider's (hereinafter SP) information system, with the objective to determine the usability and compliance of the information system with the requirements and norms set by legal acts.

## **1.2 Auditor**

The audit was carried out by KPMG Baltics OÜ *Manager* Teet Raidma (CISA certificate nr. 0649518, issued by Information Systems Audit and Management Association on September 1<sup>st</sup>, 2006).

## **1.3 Audit implementation**

We carried out the audit between 1<sup>st</sup> of September – 31<sup>th</sup> of October, 2013. During the work, we familiarized ourselves with AS Sertifitseerimiskeskus IT environment and documentation, interviewed key personnel, surveyed the work processes and carried out other control procedures.

## **1.4 Auditor's decision**

We have audited AS Sertifitseerimiskeskus IT environment. We think that the scope of our audit gives sufficient basis for expression of opinion regarding AS Sertifitseerimiskeskus information systems.

We are of the opinion that AS Sertifitseerimiskeskus information system corresponds to requirements provided in the regulation No. 83 of the Minister of Transport and Communications (October 3, 2000), titled "Auditing procedure of the service providers' information systems".

## 2 Evaluations and conclusions

The structure of this part of the report, "Evaluations and conclusions" follows the structure of the regulation No. 83 of the Minister of Transport and Communications (October 3, 2000), titled "Auditing procedure of the service providers' information systems". The regulation has been cited in *italics and bold*.

### 2.1 High-quality and secure service

*It is assessed whether the SP has applied due professional care to guarantee a high-quality and secure service.*

Considering AS Sertifitseerimiskeskus personnel policy, qualifications of employees, thoroughness and conservatism in critical areas, set work methods and existing IT environment, we are of the opinion that the company is capable of guaranteeing certification service and time-stamping service quality and security on a continuous basis.

### 2.2 Compliance with legal acts

*The compliance of the SP information system with «Digital signatures act», «Personal data protection act», «Data bases' act» and the requirements provided by other legal acts and paragraph 16 of this regulation is assessed.*

The existing IT environment and planned developments of it do not pose hindrances to guaranteeing compliance of the information system with valid legal acts. AS Sertifitseerimiskeskus information system is compliant with the specified requirements provided in paragraph 16 of the regulation.

### 2.3 Reasons for non-compliance

*Non-compliance with the requirements provided in this paragraph's clause 2 [in clause 2.2 of this report] must be substantiated in the audit report.*

The named non-compliance did not appear during the audit.

### 2.4 Compliance with Certification Practice Statement

*The compliance of the SP information system, including compliance of organization and work methods, with documented Certification Practice Statement is assessed.*

The company's information system, organization and work methods comply with documented Certification Practice Statement.

### 2.5 Compliance with Time-Stamping Principles

*The compliance of the SP information system, including compliance of organization and work methods, with documented Time-Stamping Principles is assessed.*

The company's information system, organization and work methods comply with documented Time-Stamping Principles.

## **2.6 Fulfillment the requirements of „Digital signatures act”**

*Fulfillment of the SP's obligations according to «Digital signatures act» is assessed.*

We confirm that AS Sertifitseerimiskeskus complies with the criteria provided in Digital signatures act §18 subsection (1) in clause 1, §25 in clause 1, §19, §21, §26 and §29. AS Sertifitseerimiskeskus is capable of fulfilling the obligations of certification service provider listed in §22 of the act and the obligations of time-stamping service provider listed in §28 of the act. AS Sertifitseerimiskeskus certification practice statement complies with the requirements of Digital signatures act §20. AS Sertifitseerimiskeskus time-stamping principles comply with the requirements of Digital signatures act §27.

## **2.7 EVS-ISO/IEC 12207**

*Compliance of the SP's information system is assessed against standard EVSISO/IEC 12207, noting in report, which parts of the standard were used for compliance audit.*

We assessed compliance with part 6.8 „Problem Solving“ of standard EVS-ISO/IEC 12207. We reached the conclusion that AS Sertifitseerimiskeskus follows principles prescribed in the standard in providing certification and time-stamping services.

## **2.8 EVS-ISO/IEC TR 13335 and ISO/TR 13569**

*The compliance of service provider's information system security was assessed against standards EVS-ISO/IEC TR 13335-1, 2, 3 and ISO/TR 13569, noting in report which parts of the standards were used for compliance audit.*

We assessed the compliance of the enterprise's information security management procedure with standard EVS ISO/IEC TR 13335-1,2,3 “Guidelines for the management of IT Security”, part 9.3 „Risk Analysis”. We reached the conclusion that AS Sertifitseerimiskeskus follows the standard regarding this part.

We assessed the compliance of AS Sertifitseerimiskeskus IT environment with part 7.2 „Logical Access Controls“ of standard ISO/TR 13569. We are of the opinion that AS Sertifitseerimiskeskus follows the requirements provided in the standard.

## **2.9 COBIT**

*Compliance of the SP's information system with «COBIT (Control Objectives for Information and Related Technology) Audit guidelines, April 1998, 2 Edition» was assessed, noting in the report, which parts of the document were used for compliance audit.*

We assessed the compliance of the SP's information system with process PO10 „Managing Projects“ and DS12 “Managing Facilities” of COBIT. We came to the conclusion that AS Sertifitseerimiskeskus has followed best practices of COBIT.

## 2.10 Other technical norms

*Compliance of the SP's information systems with the technical norms and requirements provided in legal acts significant from the standpoint of provision of service is assessed.*

We assessed compliance with the requirements stated in part 6 "Personnel Security" of the standard EVS-ISO/IEC 17799:2003. We reached the conclusion that AS Sertifitseerimiskeskus follows the requirements provided in the named standard.

At the time the audit was carried out, there were no other significant technical norms and requirements from the standpoint of provision of service set by legal acts.

Yours faithfully

(signed digitally)

Andris Jegers  
KPMG Baltics OÜ Partner

(signed digitally)

Teet Raidma  
KPMG Baltics OÜ Manager, CISA

Annex 1: Confirmation that the audit was carried out during the given period

Annex 2: Copy of CISA certificate of auditor