Audit Attestation for

Hellenic Academic & Research Institutions Certification Authority ("HARICA")

Reference: No. 280622-09-AL

Thessaloniki, 2022-06-28

To whom it may concern,

This is to confirm that QMSCERT has audited the CAs of the GREEK UNIVERSITIES NETWORK (dba "GUNET"), owner of HELLENIC ACADEMIC & RESEARCH INSTITUTIONS CERTIFICATION AUTHORITY ("HARICA"), without findings.

This present Audit Attestation Letter is registered under the unique identifier number "280622-09-AL" and consists of 8 pages.

Kindly find here below the details accordingly.

In case of any question, please contact:

QMSCERT
90, 26th October Str.
546 27 Thessaloniki, Greece
E-Mail: ict-certification@qmscert.com
Phone: +30 2310 443041

With best regards,

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Lazaros Karanikas
Managing Director

Identification of the conformity assessment body (CAB) and assessment organization acting as ETSI auditor:	- QMSCERT 26th October Str., 90 546 27 Thessaloniki Greece Registered under nº 042094606000 - Accredited by ACCREDIA under registration 272B[1] for the certification of trust services according to "EN ISO/IEC 17065:2013" and "ETSI EN 319 403 V2.2.2 (2015-08)" and/or "ETSI EN 319 403-1 V2.3.1 (2020-06)" respectively. - Insurance Carrier (BRG section 8.2): AIG Europe S.A., Policy No. P2301004773 - Third-party affiliate audit firms involved in the audit: None.
Identification and qualification of the audit team:	- Number of team members: Two (2) - 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: 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 4) the Conformity Assessment Body's processes. Furthermore, all team members have language skills appropriate for all organizational levels within the CA/TSP organization; note-taking, report-writing, presentation, and

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[1]

https://services.accredia.it/ppsearch/accredia_orgmask.jsp?ID_LINK=1733&area=310&PPSEARCH_ORG_SEARCH_MASK_ ORG=3761&PPSEARCH_ORG_SEARCH_MASK_SCHEMI=&PPSEARCH_ORG_SEARCH_MASK_SCHEMI_ALTRI=&PPSEARCH_O DC_SEARCH_MASK_SETTORE_ACCR=&PPSEARCH_ORG_SEARCH_MASK_CITTA=&PPSEARCH_ORG_SEARCH_MASK_PROVI NCIA=&PPSEARCH_ORG_SEARCH_MASK_REGIONE=&PPSEARCH_ORG_SEARCH_MASK_STATO=&orgtype=all&PPSEARCH_ ORG_SEARCH_MASK_SCOPO=&PPSEARCH_ORG_SEARCH_MASK_PDFACCREDITAMENTO=&submitBtn=Cerca

	interviewing skills; and relevant personal attributes: objective, mature, discerning, analytical, persistent and realistic.
	• 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: 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 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: none.
	• Special Credentials, Designations, or Certifications: All members are qualified and registered assessors within the accredited CAB.
	• 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.
Identification and qualification of the reviewer performing	• Number of Reviewers/Audit Quality Managers involved independent from the audit team: One (1)

audit quality management:	• 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.

Identification of the CA / Trust Service Provider (TSP):	GREEK UNIVERSITIES NETWORK ("GUNET") Network Operation Center, National and Kapodistrian University of Athens, Panepistimioupoli Ilissia 157 84 Athens Greece Registered under 13392/28-9-2000

Type of audit:	☐ Point in time audit ☐ Period of time, after x month of CA operation ☒ Period of time, full audit
Audit period covered for all policies:	2021-03-30 to 2022-03-29
Point in time date:	none, as audit was PoT audit
Audit dates:	2022-03-28 to 2022-04-05 (on site)
Audit locations:	MR1, Thessaloniki, Greece (operations) MR4, Thessaloniki, Greece (disaster recovery)

Standards considered:	European Standards: ☒ ETSI TS 119 495 V1.5.1 (2021-04) ☒ ETSI EN 319 421 V1.1.1 (2016-03) ☒ ETSI EN 319 411-2, V2.4.1 (2021-11) ☒ ETSI EN 319 411-1, V1.3.1 (2021-05) ☒ ETSI EN 319 401, V2.3.1 (2021-05) CA Browser Forum Requirements: ☐ EV SSL Certificate Guidelines, version 1.7.8 ☐ Baseline Requirements for the Issuance and Management of Publicly-Trusted Certificates, version 1.8.2 ☐ Baseline Requirements for the Issuance and Management of Code Signing Certificates, version 2.7 For the Trust Service Provider Conformity Assessment: ☒ ETSI EN 319 403-1 V2.3.1 (2020-06) ☒ ETSI TS 119 403-2 V1.2.4 (2020-11)

The full annual audit was based on the following policy and practice statement documents of the CA / TSP:

1. [CP/CPS] Certificate Policy/ Certification Practice Statement, version 4.5, dated 2022-03-23

2. [CP/CPS] Certificate Policy/ Certification Practice Statement, version 4.4, dated 2021-05-21

3. [CP/CPS] Certificate Policy/ Certification Practice Statement, version 4.3, dated 2021-02-18

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

No incidents have been reported or remain open within the audit period.

This attestation is based on the template v2.9 as of 2022-04-04, that was approved for use by ACAB-c.

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Distinguished Name	SHA-256 fingerprint	Applied policy and OID	Technical constraints
C=GR, O=Greek Universities Network (GUnet), OU=Hellenic Academic and Research Institutions CA, organizationIdentifier= VATGR-099028220, CN=HARICA Qualified ECC Root CA 2021	AC1CC116B03545F6D3E62CE32043198F527AB9E6E4F19FCCAA1D2F50C6438B0C	ETSI EN 319 411-2: QCP-l, QCP-l-qscd, QCP-n, QCP-n-qscd, QCP-w; ETSI TS 119 495: QCP-w-psd2; ETSI EN 319 421: BTSP	not defined

Table 1: Root-CA in scope of the audit

The TSP named the Sub-CAs that have been issued by the aforementioned Root-CA, that are listed in the following table and that have been covered in this audit.

Distinguished Name	SHA-256 fingerprint	Applied policy OID	EKU
CN=HARICA Qualified Certificates for eSeals ECC,OU=Hellenic Academic and Research Institutions CA,organizationIdentifier=VATGR-099028220,O=Greek Universities Network (GUnet),C=GR	3CE8739CD3C5F7007B205D7190EE8B53E057D8AF7ACF98E555E04D86D2D4F4E5	ETSI EN 319 411-2: QCP-l-qscd, QCP-l	1.3.6.1.4.1.311 .10.3.12, 1.2.840.11358 3.1.1.5
CN=HARICA Qualified Certificates for eSignatures ECC,OU=Hellenic Academic and Research Institutions CA,organizationIdentifier=VATGR-099028220,O=Greek Universities Network (GUnet),C=GR	F4402DF91FBA7EB35FA40A7F9463718FAA4F8A05BC6E26622447983DBBA97D34	ETSI EN 319 411-2: QCP-n-qscd, QCP-n	1.3.6.1.4.1.311 .10.3.12, 1.2.840.11358 3.1.1.5
CN=HARICA Qualified Web Authentication Certificates ECC,OU=Hellenic Academic and Research Institutions CA,organizationIdentifier=VATGR-099028220,O=Greek Universities Network (GUnet),C=GR	3572CC46440D3F79056CD041F3BBE358292965043B4CE52DBB9EAF9D96278307	ETSI EN 319 411-1: OVCP, EVCP ETSI EN 319 411-2: QCP-w, QCP-w-psd2	TLS Web Client Authentication, TLS Web Server Authentication

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CN=HARICA Qualified Time-stamping Certificates ECC,OU=Hellenic Academic and Research Institutions CA,organizationIdentifier=VATGR-099028220,O=Greek Universities Network (GUnet),C=GR	90508E0F4668590A89A2EEA9CE24BD5345358B71CE2420764FF4F76F6F083091	ETSI EN 319 421: BTSP	Time Stamping

Table 2: Sub-CA's issued by the Root-CA or its Sub-CA's in scope of the audit

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Modifications record

Version	Issuing Date	Changes
Version 1	2022-06-28	Initial attestation

End of the audit attestation letter.

This attestation is based on the template v2.9 as of 2022-04-04, that was approved for use by ACAB-c.

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