

**Certification Practice Statement  
of  
identity Trust Management AG**



**for the identification procedures**

identity Kurier Papier, identity Shop Papier, identity Shop Papierlos, identity Kurier Sign and identity Shop Sign, identity Video, identity eID and identity Giro  
and the

**document signing procedures**

identity e-Sign and identity PoS

version 1.3  
as of 2018-07-30

## Table of Contents

1	Introduction .....	5
1.1	Overview .....	5
1.2	Document Name and Identification.....	7
1.3	PKI Participants.....	7
1.4	Certificate Usage.....	8
1.5	Policy Administration .....	8
1.5.1	Organization administering the document .....	8
1.5.2	Contact Person .....	8
2	Publication and Repository Responsibilities .....	9
2.1.1	Repositories .....	9
2.1.2	Time or frequency of publication.....	9
3	Identification and Authentication.....	10
3.1	Naming.....	10
3.1.1	Types of names.....	10
3.1.2	Need for names to be meaningful.....	10
3.1.3	Anonymity and pseudonymity of certificates.....	10
3.1.4	Rules for interpreting various name forms .....	10
3.2	Initial Identity Validation.....	10
3.2.1	Method to prove possession of private key.....	10
3.2.2	Authentication of organization entity or legal persons.....	11
3.2.3	Authentication of individual identity.....	11
3.2.4	Non-verified subscriber information .....	11
3.3	Identification and Authentication for Re-key Requests.....	11
3.4	Identification and Authentication for Revocation Requests .....	11
4	Certificate Life-Cycle Operational Requirements .....	13
4.1	Certificate application .....	13
4.1.1	Who can submit a certificate application.....	13
4.1.2	Enrolment process and responsibilities .....	13
4.2	Certificate application processing .....	13
4.2.1	Performing identification and authentication functions .....	14
4.3	Certificate issuance .....	14
4.4	Certificate acceptance .....	14
4.4.1	Conducting certificate acceptance.....	14
4.4.2	Publication of the certificate.....	14
4.4.3	Notification of certificate issuance .....	15
4.5	Key pair and certificate usage .....	15
4.6	Certificate renewal.....	15
4.7	Certificate re-key .....	15
4.8	Certificate modification .....	15
4.9	Certificate revocation and suspension .....	15
4.10	Certificate status service .....	16
4.11	End of subscription.....	16
4.12	Key escrow and recovery .....	16
5	Facility, Management, and Operational Controls .....	17
5.1	Physical Security Controls.....	17
5.2	Procedural Controls.....	17
5.3	Personnel Controls.....	17
5.4	Audit Logging Procedures .....	18
5.4.1	Types of events logged .....	18
5.4.2	Frequency of processing log .....	18
5.4.3	Retention period for audit log.....	19
5.4.4	Protection of audit log.....	19

5.4.5	Audit log backup procedures .....	19
5.4.6	Audit collection system .....	19
5.4.7	Notification to event-causing subject .....	19
5.4.8	Vulnerability assessment.....	19
5.5	Records Archival .....	19
5.6	Key Changeover.....	20
5.7	Compromise and Disaster Recovery .....	21
5.8	CA or RA Termination .....	21
6	Technical Security Controls.....	22
6.1	Key Pair Generation and Installation .....	22
6.2	Private Key Protection and Cryptographic Module Engineering Controls.....	22
6.3	Other Aspects of Key Pair Management.....	22
6.4	Activation Data .....	22
6.5	Computer Security Controls .....	22
6.6	Life Cycle Security Controls .....	23
6.7	Network Security Controls .....	23
6.8	Timestamping.....	23
7	Certificate, CRL, and OCSP Profiles .....	24
8	Compliance Audit and Other Assessment .....	25
8.1	Frequency and circumstances of compliance audit .....	25
8.2	Identity/qualifications of auditor .....	25
8.3	Auditor's relationship to audited party.....	25
8.4	Topics covered by audit.....	25
8.5	Actions taken as a result of deficiency.....	26
8.6	Communication of results .....	27
9	Other Business and Legal Matters .....	28
9.1	Fees.....	28
9.2	Financial Responsibility.....	28
9.3	Confidentiality of Business Information.....	28
9.4	Privacy of Personal Information.....	28
9.4.1	Purpose of data acquisition, processing, and usage.....	28
9.4.2	Principles on data acquisition and disclosure .....	29
9.4.3	Technical and organizational controls.....	29
9.5	Dispute Resolution Procedures .....	29
9.6	Representations and warranties .....	30

## Document History

Version	Date	Author / Editor	Change	Comment
1.0	31.07.2016	Meerlo Johannes/Jacobs Harald	Initial version	
1.1	31.10.2016	Erkan Ciftci	Inclusion of identity e-Sign	
1.1.1	12.07.2017	Erkan Ciftci	Inclusion of identity Shop Papierlos and identity PoS	
1.1.2	23.01.2018	Erkan Ciftci	Inclusion of D-Trust as CA	
1.1.3	02.02.2018	Erkan Ciftci	Changes during and after TÜVIT audit	
1.2	19.02.2018	Harald Jacobs	Final Version	
1.2.1	16.07.2018	Erkan Ciftci	Added identity Giro procedure and Trusted Role	
1.2.2	30.07.2018	Erkan Ciftci	Minor corrections	
1.3	30.07.2018	Uwe Stelzig	Final Version	

# 1 Introduction

- identity Trust Management AG is an identification services provider offering services in the field of verification of identities of natural persons and legal entities and obtaining signatures.
- identity Trust Management AG resulted from a merger of the two companies formerly known as ID 8 GmbH and idvos GmbH. ID 8 was a company specialized in offline identifications services whereas idvos GmbH, a technology start-up, specialized in digital and online procedures for the verification of identities and documents.
- The services identity Kurier Papier, identity Kurier Sign, identity Shop Papier, identity Shop Sign, identity Video and identity eID provided by identity Trust Management AG, have already been certified and confirmed as being compliant with the former German Signature Act and the German Signature Ordinance. The modular confirmation allowed certification services providers to use these services for identity verifications in the process of issuing qualified certificates.
- The services identity Shop Papierlos and identity PoS are being added to the portfolio of identity with this CPS version.
- In addition, identity Trust Management AG offers the service identity e-Sign consisting of identity Video, the generation of a qualified certificate by a CA, and the qualified signature of a document using the qualified certificate provided by the CA.
- This document is the CPS of identity Trust Management AG. It is not a full CPS according to RFC 3647, because identity Trust Management AG only covers the aspect of identity proofing, registration and operations authority for the CA, but does not offer other certification services.
- The purpose of this document is to serve as a base for compliance with eIDAS, the Regulation (EU) No 910/2014 of the European Parliament and of the Council of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC and the relevant ETSI standards, especially ETSI EN 319 411-2 and ETSI EN 319 401.

## 1.1 Overview

- Identity verification can be conducted at the customer's choice of address such as his domicile or workplace, in shops, in video conferences, or via the eID function of new ID cards. In addition, identity Trust Management AG offers professional contract management including but not limited to online signature of legally binding documents or contracts for the performance of a continuing obligation by qualified electronic signature (QES), obtains signatures, provides the results of identity verifications by

electronic means and actively manages identities to support the recipients of electronic ID verifications.

- The services of identity Trust Management AG are based on identity verifications in accordance with the German Geldwäschegesetz (prevention of money laundering act), the De-Mail act with its technical guidelines, and the German Trusted Service Provider Law (VDG).
- identity Trust Management AG provides the following services.
- identity Kurier Papier  
Identification of the natural person to be identified by means of the physical presence of the person to be identified. The agent will visit the natural person at his home or any other agreed upon location and then performs the actual act of identification. Identity Kurier Papier is performed by regional couriers (Service Partner), connected by means of a proprietary, uniform and standardized software (identity Portal).
- identity Shop Papier  
Identification of the natural person to be identified by means of the physical presence of the person to be identified through visiting a special identification point, where the agent performs the actual act of identification. Identity Shop Papier is performed by contractually bound and affiliated ident partners or directly in shops.
- identity Shop Papierlos  
Identification of the natural person to be identified by means of the physical presence of the person to be identified through visiting a special identification point, where the agent performs the actual act of identification. Identity Shop Papierlos is performed by contractually bound and affiliated ident partners or directly in identity`s shops.
- identity PoS (Point of Sale)  
Identification of the natural person to be identified by means of the physical presence of the person to be identified. The person to be identified will visit the PoS partner shop and the agent then performs the actual act of identification at the point of sale in order to enable the natural person to sign documents with a qualified electronic signature. identity AG is responsible for the control of the identification software in the partners PoS system. Identity PoS is performed by partners, connected by means of a proprietary, uniform and standardized software (identity PoS).
- identity Kurier Sign  
Similar to identity Kurier Papier, but with additional verification of the signature performed by the identified person in presence of the agent.
- identity Shop Sign  
Similar to identity Shop Papier, but with additional verification of the signature performed by the identified person in presence of the agent.

- **identity Video**  
Identification via video session where the natural person has to be physically present in the same video session as the agent. identity Video is performed by trained and experienced identity Trust Management agents in accordance with procedures permitted by law. A video conference replaces the personal (physical) presence of the person to be identified.
- **identity eID**  
Identification of a natural person using the eID function of the German ID card.
- **identity e-Sign**  
Identification of a natural person using the identity Video service and receipt of a document provided by the customer. The document and the identification data of the identity Video session are then delivered to the CA. The CA then issues a qualified certificate and signs the document with that certificate. The signed document and identification proofs are returned to the customer.
- **identity Giro**  
Identification via Online Banking credentials of participating banks in which a natural person logs into his Online Banking Account and gives permission to his bank via TAN to provide the stored data from his initial or latest AML compliant identification to identity.

identity Trust Management AG may use subcontractors in order to perform its services, but remains fully responsible for all aspects of the provided services. Contractual agreements are in place for all subcontractors. These include but are not limited to the obligation to comply with the requirements of the security concept.

## 1.2 Document Name and Identification

This document is the “Certification Practice Statement of identity Trust Management AG for the identification procedures identity Kurier, identity Shop Papier, identity Shop Papierlos, identity PoS, identity Kurier Sign, identity Shop Sign, identity Video, identity eID, identity Giro and identity e-Sign.”

Version: 1.3

Date: 2018-07-30

This document goes into effect upon its publishing. It loses its validity upon its replacement or when being succeeded by an updated version.

## 1.3 PKI Participants

identity Trust Management AG provides identity verification. It serves as RA for the CA for short- or long-lived qualified certificates used for document signing.

## 1.4 Certificate Usage

identity Trust Management AG provides several identity verification services which are not related to certificate issuance. Certificates issued by the CA in the context of identity e-Sign can be used for document signing only.

## 1.5 Policy Administration

Changes to this document need to be approved by the management of identity Trust Management AG. As identity Trust Management AG is also operating as registration authority for the CA this CPS must also be approved by the CA.

After approval, the changed version is made available as stated in 2.1.2. The CPS is reviewed after major process changes or at least annually, as part of the internal audit and is adapted if necessary.

### 1.5.1 Organization administering the document

This CPS is administered by:

identity Trust Management AG  
Lierenfelder Straße 51  
40231 Düsseldorf  
Deutschland

### 1.5.2 Contact Person

Security Officer  
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## 2 Publication and Repository Responsibilities

### 2.1.1 Repositories

Relevant documents, including this CPS and the General Terms and Conditions, of identity Trust Management AG are available for download at <https://www.identity.tm/Impressum>.

Documents related to the qualified certificates issued by DocuSign France for identity e-Sign are published by DocuSign France. The underlying CP for the Cloud Signing Personal Signature CA is available at [https://www.docusign.fr/sites/default/files/DBD\\_Protect-and-Sign-Personal-Signature-ETSI-CP-v-1-3.pdf](https://www.docusign.fr/sites/default/files/DBD_Protect-and-Sign-Personal-Signature-ETSI-CP-v-1-3.pdf).

Documents related to the qualified certificates issued by D-Trust for identity e-Sign and PoS are published by D-Trust. The underlying CP for sign-me are available as follows: <https://www.bundesdruckerei.de/de/2833-repository>

Publication of certificate information: identity Trust Management AG does not issue certificates. Identity Trust Management AG provides only identity verification and RA functionality for the CA.

Certificates issued by DocuSign France in the context of identity e-Sign have a validity period of only five days; they are intended to be used only once for signing a document. They are not published; there is no public repository for these certificates.

### 2.1.2 Time or frequency of publication

The latest version of this CPS is available for download under [www.identity.tm](http://www.identity.tm) the official website of identity Trust Management AG. Previous versions of the CPS will be made available on that site as well.

New versions will be published whenever relevant modifications have been made.

The latest version of the terms and conditions (German document “AGB”) together with the data protection declaration (German document “Datenschutzerklärung”) are available under <https://www.identity.tm/Impressum>.

The websites of identity Trust Management AG are available to the public on 24 hours a day, 7 days per week. In case of system failure or any other kind of outages, identity Trust Management AG will undertake all efforts to ensure that the necessary information will be made available again as soon as possible.

The applicable CP/CPS for the qualified certificates issued by DocuSign France or D-Trust is managed and published by the given CA.

## 3 Identification and Authentication

### 3.1 Naming

#### 3.1.1 Types of names

The attribute fields “Issuer Name” and “Subject” are compliant with RFC 5280.

#### 3.1.2 Need for names to be meaningful

Names in the certificates consist of the full name of the certificate owner. The name is in line with the identity document provided for identification.

#### 3.1.3 Anonymity and pseudonymity of certificates

CA D-Trust: The rules laid down in D-Trust`s CPS do apply.

CA DocuSign: Anonymous certificates and pseudonyms are not supported. Identity Trust Management does not accept anonymous or pseudonymous identity data. All names are verified through valid government-issued ID documents.

#### 3.1.4 Rules for interpreting various name forms

CA D-Trust: The rules laid down in D-Trust`s CPS do apply.

CA DocuSign: All certificate owners can be identified by their full name in the CN field in the certificate. Other name forms are not supported.

### 3.2 Initial Identity Validation

#### 3.2.1 Method to prove possession of private key

No stipulation. Identity Trust Management AG does not issue certificates. The private keys of the qualified certificates for document signing are generated by the CA.

### 3.2.2 Authentication of organization entity or legal persons

No stipulation. identity Trust Management AG does not authenticate organizations or legal entities.

### 3.2.3 Authentication of individual identity.

The identity of the applicant is checked against an official identity document (ID). Either ID card or passport can be used.

For the Kurier and Shop processes, the applicant has to appear in person and a standard paper form or a completely digital data set (in cases of identity Shop papierlos and Identity PoS) is completed as evidence of the identification having been performed.

In case of the identity Video process, the applicant has to be present in a video conference call and screenshots are recorded as evidence.

In case of identity eID process, the identification data is retrieved using the electronic identification processes provided by the official German eID solution. All data collected is securely stored within identity Trust Management AG's databases.

The information collected during the identification include, at least the full name (surname and given names) of the applicant, the date and place of birth, the type, validity period, and the reference number of the identity document presented. Further information of the applicant, like current address, may be collected, provided that this information has been validated during the identification.

All data exchanged electronically with the customers is protected and will be held confidential by encryption and integrity is protected by a qualified electronic signature. Data that is exchanged on paper is transported inside of sealed transport boxes.

### 3.2.4 Non-verified subscriber information

Identity Trust Management does not submit non-verified data to the CA. Dual control ensures that data can be submitted only if approved by an identity proofing agent and a second person.

## 3.3 Identification and Authentication for Re-key Requests

No stipulation. identity Trust Management AG does not differentiate between identification requests for initial or re-key requests. All identifications are handled as described in section 3.2.3.

## 3.4 Identification and Authentication for Revocation Requests

CA D-Trust: The rules laid down in D-Trust's CPS do apply.

CA DocuSign: The private key associated with the certificate is generated by the CA. The private key is destroyed by the CA immediately after the document has been signed. Loss or compromise of the private key is not possible. Except for incorrect certificate data there is no reason for revocation. The subscriber can request the revocation of his/her certificate by submitting a revocation request via mail or e-mail. The identity and authentication of the requesting person is checked against the ID data which has been generated during the identity proofing process.

## 4 Certificate Life-Cycle Operational Requirements

Chapter 4 and subchapters are applicable only for the service identity e-Sign and identity PoS. There is no stipulation for other services because all other services provided by identity Trust Management are not related to certificate issuance.

### 4.1 Certificate application

#### 4.1.1 Who can submit a certificate application

From the perspective of the CA identity Trust Management AG serves as RA and certificates can be requested by identity Trust Management AG only after the identification and registration of the subscriber have been successfully completed.

From the perspective of identity Trust Management AG everybody can submit an application.

#### 4.1.2 Enrolment process and responsibilities

From the perspective of identity Trust Management AG the typical application is not initiated by entering the applicant's personal data and the document to be signed in a web-frontend of identity Trust Management AG.

Instead, the applicant logs into the website of one of identity Trust Management AG's partners and initiates the identity e-Sign/PoS process at the partner's site or in a Point of Sale.

At the partner's website the applicant enters his/her personal data (first name, last name, date of birth, place of birth, nationality, address, phone number, e-mail address) and reads/prints/stores the document which is to be signed.

identity Trust Management's partner includes the applicant's personal data in a pdf file and submits the pdf file together with the document to be signed to identity Trust Management AG.

In the PoS procedure the collection of the applicant's data and the document to be signed can also be handled by the agent in the Point of Sale.

### 4.2 Certificate application processing

After identity Trust Management has received the applicant's data and the document to be signed the applicant initiates the session for the identity Video or PoS process.

After verification of the applicant's personal data in the identity Video or identity PoS process identity Trust Management AG submits all data , including the proofs for identity verification and the document, to the CA.

## 4.2.1 Performing identification and authentication functions

By starting the video session for eSign the applicant and an identification agent enter into a video conference. The agent conducts a video identification which is compliant with the German Trusted Service Provider Law (VDG) and with the eIDAS regulation 910/2014. The agent verifies that the applicant presents a valid ID document and that the personal data of the ID document match with the data collected by the partner organization in 4.1.2.

In the PoS procedure the agent conducts an identification which is also compliant with the German Trusted Service Provider Law (VDG) and with the eIDAS regulation 910/2014. The agent verifies that the applicant presents a valid ID document and that the personal data of the ID document match with the data collected by the partner organization in 4.1.2.

In a second step a second agent repeats the identification. Only if both agents approve the positive identification of the applicant the identification is considered successful.

After the identification has been successfully completed all data collected is submitted to the CA.

## 4.3 Certificate issuance

No stipulation. Identity Trust Management does not issue certificates. Certificates are issued by the CA.

## 4.4 Certificate acceptance

### 4.4.1 Conducting certificate acceptance

After the certificate has been issued and the document has been signed the certificate owner can download the signed document. Alternatively, the signed document can be sent by e-mail.

The signature on the document includes the certificate.

The certificate owner is responsible to check the certificate for correctness.

If the certificate owner does not want to accept the certificate he/she may request revocation of the certificate after the certificate has been issued.

If the certificate owner does not revoke the certificate it is considered as accepted.

### 4.4.2 Publication of the certificate

Neither CA nor identity Trust Management publish the certificate.

The certificate is contained in the signed document and can be made available by the certificate owner.

### 4.4.3 Notification of certificate issuance

Identity Trust Management and the certificate owner are notified of the certificate issuance. No other entities are notified.

### 4.5 Key pair and certificate usage

CA D-Trust: The rules laid down in D-Trust`s CPS do apply.

CA DocuSign: The private key can be used for signing a document. After the document has been signed the private key is destroyed by the CA.

Relying parties can use the certificate contained in the signed document to verify the validity of the signature.

### 4.6 Certificate renewal

CA D-Trust: The rules laid down in D-Trust`s CPS do apply.

CA DocuSign: No stipulation. Certificate renewal is not supported.

### 4.7 Certificate re-key

CA DocuSign: No stipulation. Certificate re-key is not supported.

### 4.8 Certificate modification

No stipulation. Certificate modification is not supported.

### 4.9 Certificate revocation and suspension

CA D-Trust: Certificate revocation in case of D-Trust as CA (sign-me) is to be handled directly with the CA according to its CPS (chapter 4.9). Certificate suspension is not supported.

CA DocuSign: The certificates are valid for at most 7 days. Therefore, certificate suspension is not supported. The subscriber can request the revocation of his/her certificate within 5 working days after issuance of the certificate.

Revocation request must be submitted via mail or fax to identity Trust Management AG. Revocation requests by fax are processed 24/7, requests by mail are processed from Monday to Friday during working hours. The identity and authentication of the requesting person is checked against the ID data which has been generated during the identity proofing process. After the revocation request has been authenticated identity Trust Management submits a

revocation request to the issuing CA and it is ensured that the revocation will be performed within 24 hours at most.

Revocation requests must include the full name and address of the applicant, a phone number, an email address, the identity code provided during identification, the reason for revocation, the serial number and subject information of the certificate to be revoked and a handwritten signature of the applicant. Only complete revocation requests can be processed.

Revocations by mail have to be directed to identity Trust Management AG, Lierenfelder Straße 51, 40231 Düsseldorf, Germany.

Revocations by fax have to be directed to +49 (0) 211 68773-399.

All other aspects of revocation management e.g. processing revocation requests, issuing CRLs, and status checking availability are handled by the CA.

#### 4.10 Certificate status service

No stipulation. Certificate status service is operated by the given CA.

#### 4.11 End of subscription

No stipulation.

#### 4.12 Key escrow and recovery

No stipulation. At no point in time is identity Trust Management in possession of private keys associated with the customer's certificates. Key escrow or recovery is not possible.

Private EE keys are generally and exclusively generated and stored by the TSP. A specific procedure for key depositing is not offered.



## 5 Facility, Management, and Operational Controls

### 5.1 Physical Security Controls

All facilities concerned with the processing of identification data, including necessary infrastructural components like routers and firewalls are operated in an environment that physically protects the services against compromise through unauthorized access to systems or data. Facilities are surrounded by solid walls and access to these facilities is only possible to a limited number of authorised employees. Every entry of unauthorized persons to the secured premises is logged. Unauthorised persons are always accompanied by an authorised person whilst inside of the facility.

The premises of Service Partners and shops performing identity verification do not store any data outside of business-hours, neither in electronic nor in paper form. All locations are locked outside of business-hours. Keys are handed out to authorized personnel only.

### 5.2 Procedural Controls

The paper-based identification protocols of the Kurier and Shop processes are collected by the digitization centre of identity Trust Management AG separated by co-operation or Service Partner in a dedicated transport box. Before shipping to the co-operation or Service Partner each transport box is sealed in order to prevent unauthorised access to or unnoticed modification of the boxes' content.

Electronic identification data of all identification processes as well as the electronic document submitted during the identity e-Sign process is transmitted only through secured communication lines. All communication is encrypted; the authenticity and integrity of transmitted data is ensured through a qualified electronic signature.

identity Trust Management AG maintains a security concept which includes security controls and procedures for all its systems, facilities, and assets providing the identification services. Risk assessment of the identification processes is performed as part of the security concept. Security measures to minimize risks have been implemented and are described within the security concept. The risk analysis is reviewed as part of the regular internal audit.

It is the security officer's duty to perform internal audits of the infrastructure and the used systems, processes, and documentations in order to ensure that the services are provided are consistent with this CPS and other policies and procedures defined by identity Trust Management AG. These internal audits are performed at least once a year. Results of the internal audit, including possible discrepancies or deficits, have to be reported to the general management of identity Trust Management AG. In such case the execution of corrective measures is initiated by the security officer in coordination with the data protection officer.

### 5.3 Personnel Controls

identity Trust Management AG employs staff and subcontractors, who possess the necessary expertise, reliability, experience, and qualifications.

All employees receive regular training with regards to security and personal data protection rules and measures.

Appropriate disciplinary actions and/or sanctions will be applied to personnel violating identity Trust Management AG's policies or procedures.

Persons in trusted roles are selected by the company's management and formally appointed to their roles.

Managerial personnel possess professional experience with the services provided and are familiar with security procedures for personnel with security responsibilities.

Personnel in trusted roles are to be held free from conflict of interest situations that might prejudice the impartiality of operations.

Trusted roles include roles that involve the following responsibilities:

- Security Officers: overall responsibility for administering the implementation of security practices.
- System Administrators: authorized to install, configure, and maintain systems.
- System Operators: responsible for operating systems on a day-to-day basis.
- System Auditors: authorized to review archives and audit logs of the systems.
- Identifier: Responsible for the identification of applicants and the documentation of the identification results.
- Verifier (HUB-Prüfer): Responsible for the verification of applicants from another Identifier (4-Eye-Principle) and the documentation of the identification results.

Access to systems or applications is only granted after the appointment to a trusted role.

## 5.4 Audit Logging Procedures

System events are logged on a server dedicated for system logging. All attempts to access the IT infrastructure of identity Trust Management AG are logged to this server, indicating the type as well as the time of the event. Administrative access to the syslog server is only possible under dual control and only from within the internal network.

All systems, including the databases of the business software as well as the logging server, are backed up on a regular basis, twice per day, using a dedicated backup server. Backups are managed by the IT service and the hosting provider.

### 5.4.1 Types of events logged

All events regarding identification activities and document signing activities are logged in the business software of identity Trust Management AG.

### 5.4.2 Frequency of processing log

The correct operation of the logging functions is verified on a regular basis.

### 5.4.3 Retention period for audit log

Audit logs are retained for a period of 12 months and are securely deleted after that time.

### 5.4.4 Protection of audit log

Audit logs are only accessible under dual control and only from within the internal network.

### 5.4.5 Audit log backup procedures

Audit logs are covered by the routine backup procedures.

### 5.4.6 Audit collection system

System events are logged on a dedicated server.

### 5.4.7 Notification to event-causing subject

Depending on the severity and nature of the event, identity Trust Management AG will notify the event-causing subject (e.g. Service Partner who submitted data) of the event, the log-entry, and the result of investigations.

### 5.4.8 Vulnerability assessment

System events are logged on a server dedicated for system logging. All attempts to access the IT infrastructure of identity Trust Management AG are logged to this server, indicating the type as well as the time of the event.

## 5.5 Records Archival

CA D-Trust: All information regarding the performed identification is transmitted to the CA and the archiving is being made there.

CA DocuSign:

All information regarding the performed identification is transmitted to the customer who issued the request for identification and who has to ensure proper archiving. The information will be made anonymous after three months and finally deleted from the systems of identity Trust Management AG after a maximum period of 12 months.

The security concept including all its historic versions, evidences for technical qualification of the employees, the role list including history and information regarding service partners and

subcontractors, are archived on electronic data storage media and / or paper-based for the complete time of business activity of identity Trust Management AG.

As long as a business relationship continues to exist, this information is to be made available for the TSP upon request. In case of termination of the business relationship, identity Trust Management AG makes all necessary information available to its customer. In such case the customer is obligated to retrieve and properly archive the information.

As a supplementary service, the DocuSign France provides to identity Trust Management a Proof File archiving service where identity Trust Management can store all evidences collected during the identification of identity e-Sign users.

As part of this archiving service, an electronic Vault will be made available to identity Trust Management for the purpose of archiving proof files of clients which have subscribed to the archiving service.

Only two (2) administrators expressly authorized by the identity Trust Management have access to the vault, by using the logins and passwords communicated by DocuSign.

identity Trust Management is expressly informed that DocuSign France is not authorized to access the archived proof files. Likewise, no subscriber will have access to the proof files stored in the electronic vault. Only the client can provide the subscriber with the signed original to which it is entitled.

The proof files will be archived for a period of ten (10) years following their receipt by the electronic archiving service provider, unless the identity Trust Management AG explicitly requests their return in accordance with client's needs.

At the end of the archiving period, an alert procedure is implemented to enable identity Trust Management to take the necessary measures and decisions, within a maximum of sixty (60) calendar days, to extend the archiving period.

At the end of the period of ten (10) years, the identity Trust Management AG may choose to:

- Extend the Proof File archiving period, following a written agreement between the parties defining the technical and financial terms and conditions of this extension; or
- Request that the Service Provider return its proof files, in accordance with the terms and conditions agreed upon.

If the contractual agreement is terminated or expires before the end of the period of ten (10) years, barring a request to return the proof files, identity Trust Management AG will continue to benefit from the service provided by the archive provider enabling the viewing of proof files archived before the end of the agreement, for the remainder of the archiving period.

## 5.6 Key Changeover

No stipulation. identity Trust Management AG does not issue certificates and does not handle CA keys.

## 5.7 Compromise and Disaster Recovery

- The hosting provider maintains an ISO 27001 compliant Information Security Management System which includes a disaster recovery plan. According to that plan, services will be restored as soon as possible.

## 5.8 CA or RA Termination

- In case of termination of services, the management of identity Trust Management AG informs the relevant supervisory authority, the CA, and other customers at least two months in advance about this fact.
- All documentation relevant for the CA and the customers will be provided for collection at designated interfaces. The CA and customers will be requested to collect all documentation necessary to fulfill their legal requirements on retention periods.

## 6 Technical Security Controls

### 6.1 Key Pair Generation and Installation

No stipulation. identity Trust Management AG is only performing identification services and document signing services. identity Trust Management AG does not issue certificates on its own.

### 6.2 Private Key Protection and Cryptographic Module Engineering Controls

No stipulation. identity Trust Management AG is only performing identification services and document signing services. identity Trust Management AG does not issue certificates on its own.

### 6.3 Other Aspects of Key Pair Management

No stipulation. identity Trust Management AG is only performing identification services and document signing services. identity Trust Management AG does not issue certificates on its own.

### 6.4 Activation Data

No stipulation. identity Trust Management AG is only performing identification services and document signing services. identity Trust Management AG does not issue certificates on its own and does not handle customer's activation data.

### 6.5 Computer Security Controls

- identity Trust Management AG has taken appropriate technical and organizational measures to protect systems and data against unauthorized access and to ensure the integrity and authenticity of systems and data.
- The servers for the administration of identity Trust Management's local offices are physically separated from the servers providing the business functionality.
- Local servers do neither store nor process personal data collected during the identity verification process. The servers for business functionality (i.e. those that process and store personal data) are operated and hosted by a service provider.

All systems are access controlled and protected by firewalls. Access to the business software of identity Trust Management AG, is only possible for authorized employees after successful authentication. Every authorized user is allocated to a role that defines the rights that are granted to the user. Each user has its own credentials to authenticate to the systems.

- All systems and networks are configured according to “DENY ALL by Default”, which means, that only explicitly necessary connections, services and access rights are configured. Security patches for systems are installed if necessary.
- Administrative access to the systems is only possible for authorized employees in the role of system administrator after successful authentication.
- The systems are permanently monitored with regards to processing power and storage capacity. In case of the configured thresholds being reached, IT service, security officer and management will be notified automatically.

## 6.6 Life Cycle Security Controls

Development of the business software is performed by the IT service of identity Trust Management AG. Development is performed in a separated development environment and includes definition and testing of security requirements. Releases must be approved by the management. Approval and releases are completely documented.

identity Trust Management AG maintains a list of all its assets which defines the necessary security level for each asset. The list is reviewed regularly as part of the annual internal audit.

## 6.7 Network Security Controls

The internal networks of identity Trust Management AG are separated from each other and from external networks by firewalls which are configured to allow only the necessary data connections.

Network accessible components provide continuous service (except, when necessary, for brief periods of maintenance or backup).

All components have appropriate security measures implemented to ensure protection against denial of service and intrusion attacks.

Unused network ports and services are deactivated. Any boundary control devices, used to protect the network, are configured to accept only explicitly allowed connections.

All security principles and measures that apply are identified in identity Trust Management’s security concept.

All infrastructural components are permanently monitored for correct function.

## 6.8 Timestamping

No stipulation. identity Trust Management AG does not issue time-stamps.

## 7 Certificate, CRL, and OCSP Profiles

No stipulation. identity Trust Services AG is only performing identification services and document signing services. identity Trust Services AG does not issue certificates or provide CRL or OCSP services.



## 8 Compliance Audit and Other Assessment

### 8.1 Frequency and circumstances of compliance audit

- Audits for compliance with the German Geldwäschegesetz (prevention of money laundering act), the De-Mail act with its technical guidelines, the German Trusted Service Provider Law (VDG) and eIDAS are performed on a regular basis. Some customers may perform additional, annual third-party audits in order to fulfil their outsourcing responsibilities.
- In addition, as identity Trust Management AG is operating as RA for the CA, identity Trust Management AG undergoes regular audits in order to prove compliance with CA's CP/CPS, ETSI EN 319 401, 319 411-1 and 319 411-2.

### 8.2 Identity/qualifications of auditor

- Compliance auditors have competence in the field of compliance audits.
- Auditors are ETSI "lead auditors" qualified and trained for Information Security Management System assessment, in particular qualified to conduct audits for compliance with eIDAS relevant ETSI standards (e.g. ETSI EN 319 411-2) and for compliance with local Trusted Service Provider laws.

Compliance auditors perform such compliance audits as a primary responsibility on behalf of the applicable certification body.

### 8.3 Auditor's relationship to audited party

The certification body and compliance auditors are accredited by the German accreditation body (DAkkS – Deutsche Akkreditierungsstelle) or European equivalents to perform such audits and certifications. They are independent from identity Trust Management AG.

### 8.4 Topics covered by audit

CA D-Trust: The rules laid down in D-Trust's CPS do apply.

CA DocuSign:

The auditors choose the control objectives to be covered in the assessment in accordance with eIDAS, ETSI requirements, and the German Trusted Service Provider Law (VDG).

DocuSign France delivered a software module called "Partner Connector" which is installed in the identity Trust Management's business application for the purpose of using DocuSign's

services. The module performs all cryptographic operations necessary to implement the electronic signature in accordance with the consent protocols and signature workflows.

- Audits regarding the RA functionality for the DocuSign CA should cover the following areas:
- management of private keys and certificates used for the Partner Connector;
- use and implementation of the Partner Connector and its interconnection with the CA;
- content and availability of the General Terms and Conditions of Use for subscribers;
- content and availability of the agreement between customers and RA;
- If applicable, the connection between the RA and its partner's applications;
- IT and physical protection of the environment hosting the Partner Connector and the RA's partner's applications;
- RA management of subscriber identification and authentication data;
- Authentication and identification of subscriber by the RA
- Management of business documents presented and made available to subscribers in connection with the signature workflow;
- Retrieval of subscriber identities and their transmission to the CA via the Partner Connector;
- Conditions for accessing and using the client compartment in the electronic vault to retrieve proof files;
- Management and protection of the RA's logs according to requirements of DocuSign's CP/CPS;
- Protection of the archive according to the requirements of DocuSign's CP/CPS.

## 8.5 Actions taken as a result of deficiency

In case of identified deficiencies, an action and remediation plan will be agreed between identity Trust Management AG and the auditors.

CA D-Trust: The rules laid down in D-Trust's CPS do apply.

CA DocuSign:

- DocuSign France may set a timeframe for the remediation of non-compliances regarding the RA. If the correction has not been made within the timeframe set by DocuSign France the CA may suspend services until compliance is achieved.
- In addition, if it is suspected that the RA is in breach of the agreement with the DocuSign CA, or if a certification body or government authority makes the express request, DocuSign France also reserves the right to conduct an unannounced audit on the premises of identity Trust Management AG and/or the location where identity Trust Management hosts its systems at any time, to determine any non-compliance with the contractual agreements or the applicable certificate policies.

## 8.6 Communication of results

Audit results are communicated to the responsible supervisory bodies.

Audit results related to the RA functionality are communicated to the respective CA.

## 9 Other Business and Legal Matters

### 9.1 Fees

Fees will be negotiated individually between identity Trust Management AG and the cooperation partners.

### 9.2 Financial Responsibility

identity Trust Management AG maintains financial stability as required for the provision of the services and as shown in its annual reports. It has public liability insurance as well as pecuniary damage liability insurance to cover liabilities arising from its business operation.

### 9.3 Confidentiality of Business Information

identity Trust Management AG treats all business information obtained from its business partners as confidential, unless otherwise agreed upon.

### 9.4 Privacy of Personal Information

#### 9.4.1 Purpose of data acquisition, processing, and usage

identity Trust Management AG has committed itself to the principle of acquiring, processing or using as little personal data as possible. identity Trust Management AG acquires data on employees, subcontractors, customers, and suppliers in its IT systems only for the purpose of enabling cooperation as effective as possible. In case identity Trust Management AG receives note about the invalidity of data, these data will either be deleted or marked invalid.

Personnel data acquired, processed or used on behalf of the customer is treated according to the same principles. Provided address data will only be used for the provision of the services according to the orders.

Personal data collected during the identification and registration for identity e-Sign is processed only for

- i) enabling the RA to identify and authenticate the applicant if required
- ii) conducting the identity checks required for the issuance or revocation of a qualified certificate
- iii) including the applicant's name in the certificate.

## 9.4.2 Principles on data acquisition and disclosure

For all personnel assigned and engaged in data processing, it is prohibited to acquire, process or use any data without authorization or in any unlawful manner. All personnel are bound by the principles of data secrecy before being assigned to any job involving the processing of personal data. The requirements on data secrecy continue after cessation of the job assignment.

identity Trust Management AG acquires personal data only directly from the affected person and only up to the amount required for the purpose of a legally conformant identification. With an exception for the initial identification request from the TSP, data acquisition from third parties does not take place. Personal data is only acquired for performing identifications and is not used for any other purposes.

identity Trust Management AG may surrender and transmit personnel data to legal institutions only upon their explicit written request citing case and purpose and only as far as it is necessary for the purpose of prosecution of criminal and administrative misconduct or offense, in order to prevent threats to public safety and order, in order to comply with the duties and responsibilities of agencies involved in the protection of the constitution, the federal intelligence service, the military intelligence service or the tax authorities or as far as an official court order dictates.

All information is disclosed only by the data security officer and every disclosure is documented. It is the data security officer's responsibility, to validate if the requesting authority is legally authorised to do so and if the request is in accordance with applicable legal requirements. The requesting authority has to inform the person whose data has been requested as soon as possible, under the condition that this act of information, does not endanger or impede the authority's duties to a higher degree, then those interests of said person concerned, who's data is being disclosed.

## 9.4.3 Technical and organizational controls

According to the legal requirements, identity Trust Management AG has implemented technical and organizational controls for the protection of personal information, in a way that the unauthorized access is prevented and that the immutability and authenticity of the data is guaranteed.

identity Trust Management AG has implemented proper data security measures for all security systems that are required by law.

The data security officer documents all data security measures in a data security concept.

## 9.5 Dispute Resolution Procedures

identity Trust Management AG has established procedures for the resolution of disputes and complaints. Customers can place their complaints directly in the identity Portal. Other parties can submit their complaints in writing, by email, or by phone.

All complaints will be analysed and handled as soon as possible.

## 9.6 Representations and warranties

- identity Trust Management ensures that each subscriber for which a certificate application is submitted to the CA has been identified and authenticated properly and that certificate requests are accurate, complete, and duly authorized.
- Identity Trust Management informs subscribers about the general terms and conditions regarding the use of a certificate before submitting a certificate request to the CA. The subscriber has to confirm this by clicking on a check box on the screen.
- identity Trust Management supports the audit teams in a constructive way and makes any reasonable effort needed to complete an audit and to communicate the results.
- Identity Trust Management alerts the CA in case of a security incident related to RA functionality.
- Identity Trust Management protects its information systems and guarantees the security of the data transmitted to the PKI.