

Cybersecurity



eIDAS Certification process

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eIDAS certification process

The certification process for a Trusted Service Provider (TSP) starts with the TSP providing an official application to begin the certification process (FCS003) signed by the TSP's authorized representative. On accepting the application, DEKRA TC acting as Conformity Assessment Body (CAB) provides the potential client with an agreement for Certification Services (FCS002), which includes the certification fees, and an estimation of project schedule.

Upon the agreement acceptance, the CAB requires that the TSP makes all necessary arrangements for the conduct of the audit. It includes provision for examining documentation and the access to all areas, including those of sub-contractors, records (including internal audit reports and reports of independent reviews of information security) and personnel for the purposes of audit, re-assessment audit and resolution of complaints.

The CAB requires the applicant TSP to provide at least the following information, prior to the onsite audit:

- general information concerning the trust service and the activities it covers;
- information about locations, sizes and functions of the TSP, and its subcontractor sites, which provide or contribute to provide the trust service;
- a copy of the documentation on policies and practices that rule the provision and operation of the trust service, and, where required, the associated documentation like IT network infrastructure plans with all relevant systems, manuals and instructions for the operation of the trust service.

The objective of the audit is to confirm and certify that the TSP and the trust services it provides complies with the applicable assessment criteria.

The audit team will review before the audit which records are considered as confidential or sensitive by the TSP such that the audit team could not examine them during the audit. The audit team shall judge whether the records that can be examined are sufficient for an effective audit. If the audit team concludes that an effective audit is not warranted, the CAB shall inform the TSP that the audit could take place only when the TSP has accepted appropriate access arrangements to confidential or sensitive information.

The audit includes visits to the site(s) of the TSP. The CAB shall agree when and where audit process is conducted with the TSP. The audit team shall perform their audit of the TSP and its trust services in at least two stages.

Stage 1 audit

In preparation for the audit, the audit team shall obtain and review the documentation on the TSP and the TSP's audited service(s). The audit team shall make the TSP aware of any further types of information and records that may additionally be required for verification during STAGE 1 audit. In this stage of the audit, the CAB shall also obtain documentation on the design of the trust service(s).

The objectives of STAGE 1 audit are to provide a focus for planning the STAGE 2 audit by gaining an understanding of the structure and extent of the TSP's audited service(s). The STAGE 1 audit shall include but shall not be restricted to document review. Other elements that may be included in STAGE 1 audit are verification of records regarding legal entity, arrangements to cover liability, contractual relationships between TSP and potential contractors operating or providing sub-component services, internal/external audits or certifications, management review, and further investigations with regards to the preliminary audit of the self-declared partial compliances or non-compliances.

The audit team shall agree, with the TSP, when and where STAGE 1 audit is conducted.

STAGE 1 reports shall be submitted by the audit team leader to the CAB.

In every case, the document review shall be completed prior to the commencement of STAGE 2 audit.

The results of STAGE 1 audit shall be documented in a written report including any recommendations regarding planning for conducting the STAGE 2 audit. The STAGE 1 audit findings, related with documentation deviations or including identification of any areas of concern that could be classified as nonconformity during the STAGE 2 audit, shall be communicated to the client.

In determining the interval between STAGE 1 and STAGE 2 audits, consideration shall be given to the needs of the client to resolve areas of concern identified during the STAGE 1 audit. The CAB may also need to revise its arrangements for STAGE 2.

The CAB shall make the TSP aware of assessment STAGE 2 audit planning and of the further types of information and records that may be required for detailed verification during STAGE 2 audit.

Stage 2 audit

This stage shall always take place at the site(s) of the TSP. On the basis of observations documented during the STAGE 1 audit, the audit team shall draft an audit plan for the conduct of STAGE 2 audit.

The objectives of STAGE 2 audit are:

- to confirm that the TSP adheres to its own policies, objectives and procedures; and
- to confirm that the implemented trust services conform to the requirements of the applicable audit criteria and abide by the applicable TSP's policies, objectives and procedures.

To do this, the audit shall focus on collecting evidences on the TSP's trust services with respect to:

- implementation of trust service requirements;
- trust service related organizational processes and procedures;
- trust service related technical processes and procedures;
- implemented information security measures for trust services including IT network protection;
- trust service related products (trustworthy systems) such as cryptographic modules;
- and physical security of the relevant TSP sites.

The results of STAGE 2 audit shall be documented in a written report including the conclusions obtained after the onsite audit. The STAGE 2 audit findings, resulting from the execution of the audit plan shall be communicated to the client. The TSP shall define a corrective action plan for the non-conformities identified during this stage. The identified non-conformities may require additional onsite revision from the the audit team.

When the Audit Team Leader considers all findings/non-conformities identified during STAGE 2 solved by the TSP, STAGE 2 is considered finished.

CAR

The audit team with the supervision of the Audit Team Leader shall complete the Conformity Assessment Report (CAR), which determines the compliance of the applicant TSP according to the applicable eIDAS regulation.

AUDIT FREQUENCY

There shall be a period of no greater than two years for a full (re-)assessment audit unless otherwise required by the applicable legislation or commercial scheme applying the present document.

REVIEWING THE EVALUATION RESULTS

The Responsible of the CAB assembles all required information, including the Conformity Assessment Report (CAR), which serves as evidence of the TSP's conformance to the certification scheme and performs a preliminary review of the audit results. The purpose of the preliminary review is to ensure that all information is available and complete. The Responsible of CAB then assembles a Certificate Report which is submitted to the Certification Committee for the official review.

The Certification Committee conducts an official review of the audit results immediately prior and in conjunction with their decision, which will be either the TSP's Certificate issuance or the TSP's Certificate denial.