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ILNAS/PSCQ/Pr004
Qualification of technical assessors

Modifications: review of the document

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1.   Introduction

The *Institut Luxembourgeois de la Normalisation, de l'Accréditation, de la Sécurité et qualité des produits et services* (ILNAS) is placed under the administrative supervision of the Minister of the Economy of the Grand-Duchy of Luxembourg. The Digital trust department in ILNAS is notified to the European Commission as supervisory body of trust service providers according to the Regulation (EU) No 910/2014 of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC [2].

ILNAS, *via* the Digital trust department, is charged with the supervision of trust service providers (TSPs) that are established in the Grand-Duchy of Luxembourg and issue qualified trust services.

The scheme, requirements and process applied by ILNAS for the voluntary supervision of TSPs are described in document ILNAS/PSCQ/Pr001 - *Procedure for the Supervision of Qualified Trust Service Providers* [1].

This document describes the requirements and procedure for qualifying technical assessors requesting ILNAS to be registered in the National register of technical assessors.

2.   References

For the purposes of the present document the following references apply:

Note: references are either specific (identified by date of publication and/or edition or version number) or non-specific. For a specific reference, subsequent revisions do not apply. For a non-specific reference, the latest version applies.

[1]   ILNAS/PSCQ/Pr001 - *Procedure for the Supervision of Qualified Trust Service Providers*

[2]   Regulation (EU) No 910/2014 of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive 1999/93/EC

[3]   ETSI EN 319 401 Electronic Signatures and Infrastructures (ESI) - General policy requirements for trust service providers supporting electronic signatures

[3][4]   ETSI EN 319 411-1 Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certifictes; Part 1: General requirements

[5]   ETSI EN 319 411-2 Electronic Signatures and Infrastructures (ESI) - Policy and security requirements for Trust Service Providers issuing certificates - Part 2: Policy requirements for certification authorities issuing qualified certificates

[4][6]   ETSI EN 319 403 Trust Service Provider Conformity Assessment – Requirements for conformity assessment bodies assessing Trust Service Providers

[5]   ETSI EN 319 411-3 Electronic Signatures and Infrastructures (ESI) - Policy and security requirements for Trust Service Providers issuing certificates - Part 3: Policy requirements for Certification Authorities issuing public key certificates

[6]   ETSI TS 119 403 Trust Service Provider Conformity Assessment - Requirements for conformity assessment bodies assessing Trust Service Providers

[7]   ETSI TS 119 612 Electronic Signatures and Infrastructures (ESI); Trusted Lists

[8]   CEN/TS 419 241 Security Requirements for Trustworthy Systems Supporting Server Signing

[8][9]   CEN/TS 419 261 Security requirements for Trustworthy Systems managing certificates and time-stamps

[9]   ETSI TS 102 042 Policy requirements for certification authorities issuing public key certificates

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[10] ETSI TS 102 023 Policy requirements for time-stamping authorities

[11] CEN Workshop Agreement 14167-1 Security Requirements for Trustworthy Systems Managing Certificates for Electronic Signatures

[12][10] Guidelines for the issuance and management of extended validation certificates (CA/Browser-Forum)

[13][11] ISO/IEC 27001 Information technology — Security techniques — Information security management systems — Requirements

[14][12] ISO/IEC 27002 Information technology - Security techniques - Code of practice for information security management

3. Definitions and abbreviations

3.1 Definitions

For the purposes of the present document, the following terms and definitions (reference [2]) apply:

Trust service: means an electronic service normally provided for remuneration which consists of:

(a) the creation, verification, and validation of electronic signatures, electronic seals or electronic time stamps, electronic registered delivery services and certificates related to those services, or

(b) the creation, verification and validation of certificates for website authentication; or

(c) the preservation of electronic signatures, seals or certificates related to those services;

Qualified trust service: means a trust service that meets the applicable requirements laid down in the Regulation (EU) No 910/2014 [2];

Trust service provider: means a natural or a legal person who provides one or more trust services either as a qualified or as a non-qualified trust service provider;

Qualified trust service provider: means a trust service provider who provides one or more qualified trust services and is granted the qualified status by the supervisory body;

Certificate for electronic Signature: means an electronic attestation which links electronic signature validation data to a natural person and confirms at least the name or the pseudonym of that person;

Electronic signature: means data in electronic form which is attached to or logically associated with other data in electronic form and which is used by the signatory to sign;

Qualified certificate for electronic signature: means a certificate for electronic signatures, that is issued by a qualified trust service provider and meets the requirements laid down in Annex I of the Regulation (EU) No 910/2014 [2].

3.2 Abbreviations

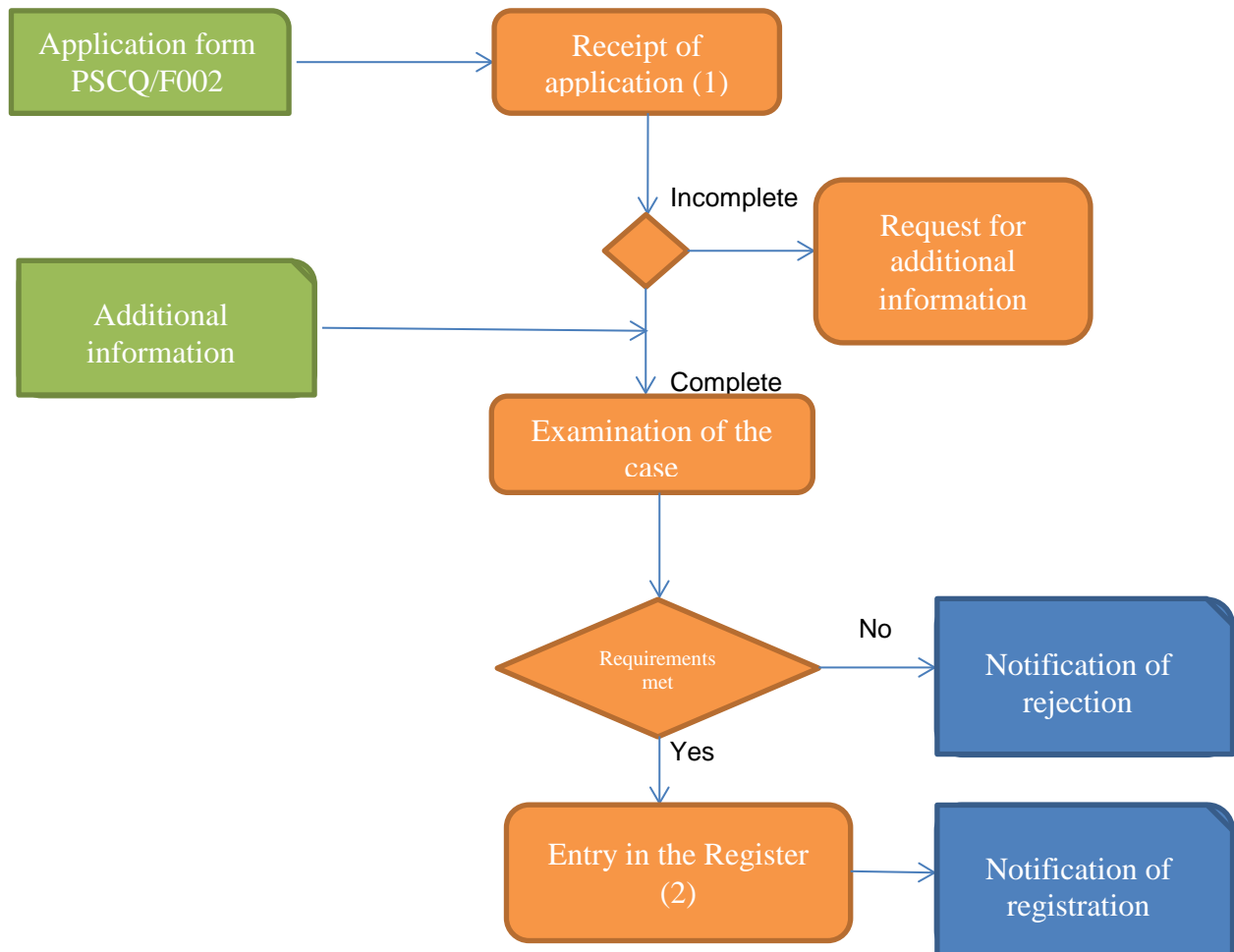For the purposes of the present document, the following abbreviations apply:

(Q)TSP   (Qualified)Trust service provider

ILNAS   *Institut Luxembourgeois de la Normalisation, de l'Accréditation, de la Sécurité et qualité des produits et services*

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4. Registration Process

The registration process is depicted in the flowchart hereunder.

```
Application form          Receipt of
PSCQ/F002      ──────▶    application (1)
                               │
                               ▼      Incomplete
                             ◆──────────────▶  Request for
                             │                 additional
Additional ─────────────────┤                 information
information                  │
                             ▼ Complete
                         Examination of the
                              case
                               │
                               ▼
                             ◆──────── No ────▶  Notification of
                      Requirements                    rejection
                          met
                               │ Yes
                               ▼
                         Entry in the Register ────▶  Notification of
                               (2)                      registration
```

(1) Form ILNAS/PSCQ/F002 - *Application for technical assessors* must at least contain:

- Complete name and address,
- Language(s) in which the assessment can be held,
- Initial or eventually complementary formation(s),
- Signed and dated professional code of conduct,
- Assessment experience,
- Field(s) for which to be registered.

(2) Technical assessors are registered in the National register of technical assessors with indication of their title: *Technical assessor* for a period of three years, prolongation being open under following conditions. For remaining in the Register they shall send to the Digital trust department annually or before a mission for ILNAS their updated Curriculum vitae with their latest qualifications and professional experiences.

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5. Technical assessor qualification

To ensure the competence of technical assessors, ILNAS has specified criteria for qualification that it applies systematically for each application that it receives (form ILNAS/PSCQ/F002 - *Application for technical assessors*).

The case manager controls the criteria with the help of the form ILNAS/PSCQ/F004C *- Review of the application for registration of assessor*. If the criteria are validated the applicant is listed in the National register of technical assessors.

5.1 Technical assessor registered by ILNAS

This chapter specifies the requirements for technical assessors requesting ILNAS to be registered in the National register of technical assessor for assessments concerning the following types of assessments:

- electronic signatures,
- electronic seals,
- electronic time stamps,
- electronic registered delivery services,
- certificate services for website authentication,
- e-archiving or digitisation services.

In addition, this chapter specifies general criteria for technical assessors who could be appointed by ILNAS as assessment team leader (Lead Assessor).

Section 5.1.2 specifies general criteria for experts who could be assigned to an assessment team for coverage of a specific subject.

5.1.1 Requirements for technical assessors

a) Education sufficient to acquire the knowledge and skills in the areas of management systems, assessing and assessment team leading.

b) Have 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 Trust service providers or Information Security Management.

c) Have appropriate understanding of the specifications ETSI EN 319 401 [3], ETSI EN 319 411-1 [4] ETSI EN 319 411-2 [5], CEN/TS 419 241 [8] CEN/TS 419 261 [9],ETSI EN 319 411-3 , ETSI TS 102 042 , and ETSI TS 102 023 .

d) Have appropriate understanding of the concepts of management systems in general.

e) Have appropriate understanding of the issues related to the areas of Trust services, Information Security Management, and organizational reliability.

f) Have appropriate understanding of the principles and processes related to risk assessment and risk management.

g) Have successfully followed a training course of at least five days on the subject of management system audit and the management of audit processes.

h) Have the following personal attributes: objective, mature, discerning, analytical, persistent, and realistic. The candidate shall be able to put complex operations in a broad perspective and shall be able to understand the role of individual units in larger organizations.

i) Have knowledge and attributes to manage the assessment process.

j) Have maintained up-to-date knowledge and skills of Trust service providers, Information Security Management, and management system assessment.

k) Prior to assuming responsibility for performing as technical assessor, the candidate shall have gained experience in the entire process of assessing Trust service providers. This experience shall have been gained by participation under supervision of qualified lead assessors in a

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minimum of four assessments for a total of at least 20 days, including documentation review, implementation assessment and assessment reporting.

All relevant experience shall be current.

ILNAS can appoint a technical assessor as assessment team leader (Lead Assessor) when he/she fulfills the following requirements:

l) Have acted as qualified technical assessor in at least one complete assessment of Trust service provider.

m) Have demonstrated to possess adequate knowledge and attributes to manage the assessment process.

n) Have demonstrated the capability to communicate effectively, both orally and in writing.

Note: Individuals not fully satisfying the criteria under k) and l) above could be qualified if documented evidence can be provided that justifies qualifying on the basis of other, relevant, experience.

5.1.2   Requirements for experts

In order to ensure that assessment teams have all necessary expertise at their disposal, experts with specific knowledge regarding the subjects listed hereunder, but who do not satisfy all qualification requirements for technical assessor, may be used to assist assessment teams. Experts are at all times responsible to the lead assessor and do not function independently of the technical assessors in the team.

Experts providing evidence of specific knowledge and experience in one or more of the following subjects may apply with ILNAS for registration:

- Legislative and regulatory requirements and legal compliance concerning Trust service providers;
- Technical state-of-art regarding Public Key Infrastructure or other trust services;
- Information security related risk assessment;
- Threats and the vulnerabilities of Trust service providers and their impact, mitigation and control;
- Organizational reliability issues.

5.2   Evaluation of performance after each assessment

After each assessment, the following forms are completed:

- Form ILNAS/DCN/F010 - *Customer survey on supervision services*,
- Form ILNAS/PSCQ/F011 – *Evaluation form for an Assessor*.

5.3   Registration in the national register technical assessors

Registration shall be updated yearly or before a mission for ILNASis valid for a period of 3 years and can be renewed.

The renewal of the entry in the National register is based on the annual examination of competence.
For remaining in the Register they shall send to the Digital trust department annually their updated Curriculum vitae with their latest qualifications and professional experiences.

5.4   Complaints against an assessor

If a serious incident is revealed following a complaint or following non-compliance with the ILNAS procedures for assessment and functioning, the head of the Digital trust department examines the assessor's file for review.

The head of the Digital trust department can formulate a warning, remove the assessor from the Register or decide to close the case.

Proven non-compliance with the professional code of conduct constitutes serious misconduct.

The assessor can lodge an appeal against the decisions of ILNAS with the administrative tribunal.