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STN	**Elektronické podpisy a infraštruktúry (ESI) Posudzovanie zhody poskytovateľov dôveryhodných služieb Časť 1: Požiadavky na orgány posudzovania zhody posudzujúce poskytovateľov dôveryhodných služieb**	**STN EN 319 403-1 V2.3.1** 87 9403

Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 1: Requirements for conformity assessment bodies assessing Trust Service Providers

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Foreword

This European Standard (EN) has been produced by ETSI Technical Committee Electronic Signatures and Infrastructures (ESI).

The present document is part 1 of a multi-part deliverable covering Trust Service Provider Conformity Assessment, as identified below:

ETSI EN 319 403-1: "Requirements for conformity assessment bodies assessing Trust Service Providers";

ETSI TS 119 403-2: "Additional requirements for Conformity Assessment Bodies auditing Trust Service Providers that issue Publicly-Trusted Certificates";

ETSI TS 119 403-3: "Additional requirements for conformity assessment bodies assessing EU qualified trust service providers".

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Modal verbs terminology

In the present document "**shall**", "**shall not**", "**should**", "**should not**", "**may**", "**need not**", "**will**", "**will not**", "**can**" and "**cannot**" are to be interpreted as described in clause 3.2 of the ETSI Drafting Rules (Verbal forms for the expression of provisions).

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Introduction

ISO/IEC 17065 [1] is an international standard which specifies general requirements for Conformity Assessment Bodies (CABs) performing certification of products, processes, or services. These requirements are not focussed on any specific application domain where CABs work.

In the present document the general requirements are supplemented to provide additional dedicated requirements for CABs performing certification of Trust Service Providers (TSPs) and the trust services they provide towards defined criteria against which they claim conformance.

The present document is aiming to meet the general requirements of the international community to provide trust and confidence in electronic transactions including, amongst others, applicable requirements from Regulation (EU) No 910/2014 [i.1], and from CA Browser Forum [i.10].

The present document's aims include support of national accreditation bodies as specified in Regulation (EC) No 765/2008 [i.4] in applying ISO/IEC 17065 [1] for the accreditation of CABs that certify TSPs and the trust services they provide so that this is carried out in a consistent manner. In accordance with [i.4], attestations issued by conformity assessment bodies accredited by a national accreditation body can be formally recognized across Europe.

The present document does not repeat requirements from ISO/IEC 17065 [1] but follows its document structure. Where needed, additional requirements are specified. This is mainly the case for requirements on resources (clause 6) and on the assessment process (clause 7). For all other chapters of ISO/IEC 17065 [1] few or no additional requirements are needed.

The present document also incorporates many requirements relating to the audit of a TSP's management system, as defined in ISO/IEC 17021 [i.12] and in ISO/IEC 27006 [i.11]. These requirements are incorporated by including text to derived from these documents in the present document, as well indirectly through references to requirements of ISO/IEC 17021 [i.12].

1 Scope

The present document contains requirements for the competence, consistent operation and impartiality of conformity assessment bodies assessing and certifying the conformity of Trust Service Providers (TSPs) and the trust services they provide towards defined criteria against which they claim conformance.

NOTE 1: Those requirements are independent of the type and class of trust service provided.

The present document also contains requirements for the conformity assessment of trust services component services, which later forms part of a separate conformity assessment of a TSP.

NOTE 2: This enables a provider of such component services, which are used as part of the service provided by several TSPs, to avoid having to be assessed several times, or even for a TSP to provide a service based just on a component service or collection of components whether or not they are recognized as a trust service under Regulation (EU) No 910/2014 [i.1].

The present document applies the general requirements of ISO/IEC 17065 [1] to the specific requirements of conformity assessment of TSPs.

The present document is part 1 of a multi-part deliverable. Other parts include:

- ETSI TS 119 403-2 [i.14]: "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 2: Additional requirements for Conformity Assessment Bodies auditing Trust Service Providers that issue Publicly-Trusted Certificates".
- ETSI TS 119 403-3 [i.15]: "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 3: Additional requirements for conformity assessment bodies assessing EU qualified trust service providers".

2 References

2.1 Normative references

References are either specific (identified by date of publication and/or edition number or version number) or non-specific. For specific references, only the cited version applies. For non-specific references, the latest version of the referenced document (including any amendments) applies.

Referenced documents which are not found to be publicly available in the expected location might be found at https://docbox.etsi.org/Reference/.

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The following referenced documents are necessary for the application of the present document.

[1] ISO/IEC 17065: "Conformity assessment -- Requirements for bodies certifying products, processes and services".

2.2 Informative references

References are either specific (identified by date of publication and/or edition number or version number) or non-specific. For specific references, only the cited version applies. For non-specific references, the latest version of the referenced document (including any amendments) applies.

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The following referenced documents are not necessary for the application of the present document but they assist the user with regard to a particular subject area.

[i.1] 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.

[i.2] ETSI EN 319 411-1: "Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 1: General requirements".

[i.3] ETSI EN 319 411-2: "Electronic Signatures and Infrastructures (ESI); Policy and security requirements for Trust Service Providers issuing certificates; Part 2: Requirements for trust service providers issuing EU qualified certificates".

[i.4] Regulation (EC) No 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93.

[i.5] ISO/IEC 17000:2004: "Conformity assessment -- Vocabulary and general principles".

[i.6] ETSI EN 319 401: "Electronic Signatures and Infrastructures (ESI); General Policy Requirements for Trust Service Providers".

[i.7] ISO/IEC 15408: "Information technology -- Security techniques -- Evaluation criteria for IT security".

[i.8] ISO/IEC 27001: "Information technology -- Security techniques -- Information security management systems -- Requirements".

[i.9] ETSI EN 319 421: "Electronic Signatures and Infrastructures (ESI); Policy and Security Requirements for Trust Service Providers issuing Time-Stamps".

[i.10] CA/Browser Forum Baseline Requirements for the Issuance and Management of Publicly-Trusted Certificates.

[i.11] ISO/IEC 27006: "Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems".

[i.12] ISO/IEC 17021: "Conformity assessment -- Requirements for bodies providing audit and certification of management systems".

[i.13] ISO/IEC 27002: "Information technology -- Security techniques -- Code of practice for information security controls".

[i.14] ETSI TS 119 403-2: "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 2: Additional requirements for Conformity Assessment Bodies auditing Trust Service Providers that issue Publicly-Trusted Certificates".

[i.15] ETSI TS 119 403-3: "Electronic Signatures and Infrastructures (ESI); Trust Service Provider Conformity Assessment; Part 3: Additional requirements for conformity assessment bodies assessing EU qualified trust service providers".

[i.16] ETSI TS 119 431 (all parts): "Electronic Signatures and Infrastructures (ESI); Policy and security requirements for trust service providers".