

ECD_CO_1002_ Impartiality Policy

Documentation control

History of versions

Version	Date	Author	Description
1	15/07/2021	Eva Pané	Initial version
1.1	10/1/2023	Gloria Salvador	Security Committee

Distribution list

Company
Lleida SAS

Classification and status

Ranking	Status
Internal Use	Approved

Documents r eferenced

Description

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1. Introduction

1.1 Aim and content

The purpose of this policy is to establish the commitment of Lleida SAS management to the impartiality necessary for the performance of the functions described in the scope, thus enabling the achievement of its objectives.

This commitment is materialised through the implementation and maintenance of a Digital Certification Body Management System in accordance with the criteria set by ONAC.

1.2 Scope of application

All members of Lleida SAS, Digital Certification Body, as well as all third parties identified in the scope of the Digital Certification Body Management System.

1.3 Distribution

Approved by the Management of Lleida SAS, this Policy must be accessible to all persons included in the distribution list specified in the document control, through the appropriate channels established in procedure ECD-3001 - Management of the documentation repository.

1.4 Review

This Policy will be reviewed and approved annually by the Security Committee. However, should any relevant changes occur for the Organisation, be they operational, legal, regulatory or contractual, they will be reviewed whenever deemed necessary, thus ensuring that the Policy remains adapted at all times.

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2. Impartiality policy

Lleida SAS Entidad de Certificación Digital (ECD) (or Digital Certification Authority (DCA)) demonstrates its commitment to the establishment, implementation and control of the following policies:

- ✓ The ECD should act impartially in its activities and should not allow commercial, financial or other pressures to compromise its impartiality.
- ✓ ECD activities should be structured and managed in a way that safeguards impartiality, accessibility to the service, as well as its Integrity, availability and Confidentiality.
- ✓ The Information Security Management System of the Digital Certification Authority (DCA) must comply with the requirements of impartiality and objectivity in each of the activities described in its documentation.
- ✓ The ECD must have formal rules for the allocation, terms of reference and operation of the committees involved in the digital certification process during the certificate lifecycle.
- ✓ The ECD's committees, their internal and external participants should act within the policies of impartiality set out herein,
- ✓ The ECD should retain the authority to appoint or remove committee members.
- ✓ When an ECD service is provided between related parties up to the third degree of consanguinity, second degree of affinity or first civil relationship (e.g. grandparents, parents, siblings, children, grandchildren, aunts, uncles, cousins, spouse, parent-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, children by adoption), there must be documented evidence of the relationship where impartiality may be affected.
- ✓ There should be a clear definition of roles and responsibilities in the ECD with customers, employees, and suppliers and control issues of conflict of interest.

- ✓ The use of ECD resources for the financing of illegal activities or activities that would violate existing laws is prohibited.
- ✓ The entry of resources to the ECD from illicit activities or any other means which are considered illegal is prohibited.
- ✓ Workers involved in the processes related to certification services must have clauses in their contract referring to compliance with the impartiality policies.
- ✓ A commitment to read, understand, adhere to and accept the policies of the Lleida.Net management system as a digital certification body must be established at a contractual level with clients, employees and suppliers.
- ✓ The use of the Lleida.Net brand as a Digital Certification Authority is prohibited without express authorisation, except in circumstances involving the provision of the service, which the subscriber may use as a sign of legal and technical support with regard to any third party and which is intended to identify Lleida SAS Entidad de Certificación Digital as a ECD and to be associated with the service provided.
- ✓ The only commissions that the sales force may receive will be formally documented with the sales team.
- ✓ The sales force may not receive any external incentive or benefit for a digital certification service, except for those gifts considered as corporate gifts (e.g. agendas, umbrellas, advertising material) that do not exceed a value equivalent to 5% of the SMMLV.
- ✓ The giving of gifts, handouts, donations in cash or in kind, whether personal or institutional, for the attainment of clients is prohibited, except for those institutional promotional objects established for the promotion, incentivisation of the use of Lleida.Net services, legal and commercial communication, and reminders of Lleida.Net brands and its commercial name, as well as tangible or intangible elements for the harmonisation of the commercial and legal relations agreed upon.

- ✓ Each ECD service shall not be associated with any other ECD service, each ECD service shall be autonomous and independent from other ECD services and shall avoid prioritisation between services.
- ✓ Critical assets should be protected according to their degree of confidentiality.
- ✓ Executing the corresponding contractual, legal or conventional actions or processes for the failure committed by any Lleida.Net Employee, Client or Supplier when carrying out activities considered to be impartial.
- ✓ Financial or any other kind of pressure that may affect the impartiality of the company, its employees and suppliers is not allowed, and in case of any such pressure, it must be reported to the corresponding authorities, maintaining confidentiality at all times with respect to the subscriber and the Digital Certification Authority.
- ✓ The existence of conflict of interest between workers and the provision of Digital Certification Authority services must be reported, i.e. in those situations in which the actions of a person, in relation to their own interest or that of a third party, and the integrity of their actions, tend to be unduly influenced by the interest of a third party, which is often economic or personal, such events may be determined, but not limited to: A personal or sentimental relationship between workers or a worker and a subscriber, an economic creditor-debtor relationship between workers or a worker and a subscriber, etc., in these events the provision of the service is not prevented, but knowledge of the situation is necessary, so that a third party can ensure compliance with the impartiality policy.
- ✓ ECD risk management should be implemented and maintained, including, among others, impartiality risks, where stakeholders should be identified and invited to participate.
- ✓ No services should be provided to customers or suppliers who may be guilty of misconduct related to impartiality.
- ✓ Approval of the impartiality policy must be given by the Lleida.Net Security Committee.

3. Non-discrimination

- ✓ Access to digital certification services is not restricted for financial or other unduly limiting conditions, such as membership of an association or group. The policies and procedures under which Lleida.net operates, and the administration of these, are non-discriminatory. No procedures are used that prevent or inhibit applicants' access to the services, in the event that Lleida.net has to contemplate in its policies and/or procedures the non-issuance of a certificate in relation to the electronic or digital signatures of natural or legal persons, or any other digital certification service that is covered in the accredited scope, it will do so in accordance with the regulations in force.

- ✓ Lleida.net's digital certification services are accessible to all applicants whose applications are within the scope of its accreditation. This includes the application of the principle of technological neutrality.

- ✓ Access to a digital certification service does not depend on any characteristic of the applicant or subscriber other than those defined in the Certification Policy (CP), nor on the membership of any association or group, nor does it depend on the number of certifications already issued. There are no undue conditions, financial or otherwise.

4. Security Committee

The body in charge of safeguarding impartiality and non-discrimination at Lleida.net is the Security Committee. In order to take appropriate action in relation to this task, the Security Committee shall include representatives of Clients and Suppliers in meetings involving issues related to impartiality and non-discrimination.

5. Map of controls

Standard	Section
CEA-3.0-07	8.2