GENERAL CERTIFICATION REGULATION

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1. General information

The SMC Slovensko a.s. is an independent body, to perform in the field of evaluation of conformity of the management systems and products and/or services under the standards, guides, regulations and compulsory ordinances of reference.

The issue of these certifications is performed respecting the ordinances that are contained in this regulation.

This regulation shows the procedures applied by SMC Slovensko a.s. for the certification of the management systems (quality and environmental and so on) and the modalities that the customer organizations must follow to ask, obtain and maintain the certificate.

The SMC Slovensko a.s. grants the certification to organizations who provide sufficient confidence about their capacity of managing and maintaining steadily the production systems in accordance with the chosen referring standards.

The SMC Slovensko a.s. certifies the following management systems of the customer organizations in their current revision:

– ISO 9001;

– ISO 14001,

– ISO 22000

– ISO 50001

– ISO/IEC 27001

– ISO 45001

– ISO 37001

– Other standards (non accredited)

The customer organizations are responsible for respecting the compulsory laws and standards applicable to products/services provided.

All organizations can reach the certification without discrimination except for the legal actions that prevent from distributing the products/ services provided. In any case SMC Slovensko a.s.

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verifies the presence and the efficacy of the client's management system that can identify and control all the legal requirements related to products and services and its applicability.

The prices applied by the SMC Slovensko a.s. are those in force and they are applied with equity and uniformity.

SMC Slovensko a.s., concerning the system certifications, performs its activity of evaluation and certification in the field of the issued accreditation by the bodies who adhere to the international agreements of reciprocal recognition, and therefore it carries out the accreditation for the different sectors of goods under the EA classification.

SMC Slovensko a.s. doesn't provide any consultancy to the companies on the formulation of their management system and on the written documents related to it.

SMC Slovensko a.s. has the safeguarding for impartiality committee competent for the function of trend, conduction, guarantee of impartiality and verification of the activities of certification performed.

The top management acts impartially in management system certification activity. The top management understands the importance of impartiality in carrying out management system certification activities and commit itself to manage possible conflict of interests and ensure the objectivity of SMC Slovensko a.s. management system certification activity.

SMC Slovensko a.s. entrusts auditors or companies only through a written contract. SMC Slovensko a.s. updates all the documents for the clients that require certification.

SMC Slovensko a.s. commits itself to inform clients in case of changes related to certification, of any change or updating in the certification procedure (also following changes in norms or rules of accreditation body)

SMC Slovensko a.s. verifies through an extraordinary audit to client (whose costs are due to client) o through surveillance audits, that the client has updated its documents to the new requirements. If the clients doesn't want to adapt to the new regulations, he can quit the contract within 30 days after the communication. If times goes by, we consider the changes accepted by client.

All the information obtained during certification activity are considered private and will be used only within the certification activity in accordance international regulation on privacy and to UE 679/2016 regulation on privacy. This information are given only to the people

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entrusted in certification activity and to client. If there is a legal need to let public these information, then the client will be informed.

SMC Slovensko a.s. doesn't take for granted the certification of clients, the positive result of the audit and the issue of the certificate. SMC Slovensko a.s. is not responsible of any damage, or loss in any way due during the audit, except the case in which its own personnel has badly behaved.

If SMC Slovensko a.s. knows through the organization or through other sources that the client is involved in scandals or in a legal process for corruption with some responsability, then it will conduct evaluations and specific analisys. At the end of the analisys, based on the result of the evaluation, SMC Slovensko a.s. will adopt the necessary measures (reinforce audits, suspension, closure and archiviation of the evalution and so on).

2. General requirements for the certification of a management system

The SMC Slovensko a.s. grants the certification only to organizations whose system has been recognized, under the evaluation criteria of the SMC Slovensko a.s., completely conform to the requirements of the referring standards.

One or more production sites of the customer organization can be certified (multi-sites companies), as long as they are part of the same organization, have a centralized direction and apply the same management system that is controlled and reviewed by a central management.

The certification will be issued with the indication of the sites/production unites included in the system. Concerning the yard-sites, the SMC Slovensko a.s. will examine the more significant sites with the aim of visiting as much sites as possible during the tree years, respecting the internal procedures and the applicable regulations.

If the organization entrusts to external subjects the activity of performance of the products/services provided, keeping however the final responsibility towards the customer, the SMC Slovensko a.s. can evaluate these subjects too, depending always on the extension and type of control that the organization has on them.

Furthermore, the organization must demonstrate that the management system is completely applied.

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ISO 37001 certification can be requested by any organization, of any type and dimension. Certification is issued to one juridical entity and includes the branches, sites and secondary offices, activities performed by the organization. Exclusions to the clauses of the standards are not permitted. Exclusions of processes or functions performed in the same country are not allowed. It is possible to apply to different countries but the application should include always processes and sensible activities under the responsibility and direct control of the organization. In case of group of companies, when the activities/processes are performed from other companies of the group, even abroad, then clause 8.5 of ISO 37001 is applied.

The applying organizations are obliged to:

- Respect this regulation;
- Provide all data, information and necessary records, allow the access to all areas of the organization , and if necessary, to the area of eventual external subject , and allow contacts with the personnel, in order to allow the complete and effective carry out of the evaluation process;
- Access to confidential or sensitive information (ISMS). If this is not possible, then SMC Slovensko a.s. will decide if perform the audit or not until appropriate arrangements are made;
- Conforms to the requirements of SMC Slovensko a.s. when making references to its certification status in communication media such as internet, brochures or advertising or other documents;
- Doesn't make or permit any misleading statement regarding its certification;
- Doesn't use or permit any misleading statement regarding its certification;
- In case of withdrawal of its certificate, discontinues its use of all advertising matter that contains a reference to certification as directed by SMC Slovensko a.s.;
- Amends all advertising matter when the scope of certification has been reduced;
- Never use the certification acquired in a wrong, deceitful way, or in a way to cause discredit to the SMC Slovensko a.s. and or to certification system;
- Is not allowed to refer to its management system certification to be used in such a way to imply that the certification body certifies a product (including service) or process;

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– Cannot imply that the certification applies to activities and sites that are outside the scope of certification;

– Cannot use their certification in such a manner that would bring SMC Slovensko a.s. or the certification system into disrepute and lose public trust;

– Communicate officially to the SMC Slovensko a.s. the existence or surviving judicial proceedings on the organization, concerning laws violations on the responsibilities of products/services, and keep SMC Slovensko a.s updated on the ongoing activity and the results;

– Accomplish the economical obligations of the certification contract;

– Let accreditation body's auditors participate to audits by its site also with minimum notice. If not, certification cannot be issued, or suspended or withdrawn;

– Guarantee the access to all areas (internal and external) to SMC Slovensko a.s. auditors and of accreditation body's auditors in safety conditions;

– Follow SMC Slovensko a.s. regulation on the use of mark and logo;

– Inform SMC Slovensko a.s. of any change that can influence the ability of the management system of satisfy the requirements of the standard (for example: changes in ownership, legal address, production site, activity and so on);

– To give accurate information and documents on required certification;

– Conform to the changes necessary to certification requirements (see ch.1);

– Maintain legal and regulatory compliance;

– Accomplish any extraordinary visit required form SMC Slovensko a.s. due to complaints or warnings related to certified management system and its conformity to relevant standard, due to check the changes made by client for non-conformity arisen during audits for suspension or other reasons. If these audits are not performed for client's fault, the certificate will be withdrawn, or not issued (for new certification).

– For multisite organization: the organization should inform SMC Slovensko a.s. about the closure of any of the sites covered by the certification;

– To inform the certification body, without delay, of the occurrence of a serious incident or breach of regulation necessitating the involvement of the competent regulatory necessitating the involvement of the competent regulatory authority;

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– To inform SMC Slovensko a.s. of critical situations that can threaten the guarantee of system's certification (for example news of public interest, crises o involvement in juridical procedure for corruption);

– To inform SMC Slovensko a.s. of any event related to corruption that may have involved the human resources, the consequent actions to control the effects of the event, the cause's analisys, the root analisys, and the corrective actions;

– To give proof of have done the risks analisys on all the process/activities.

Clients have the right to ask information on auditors, can ask to change the auditor within 5 days from the receipt of the name of the auditor showing valid reasons. Clients have the right to make complaints (see PQ11 published on web site).

If any of the client obligation are not followed by clients SMC Slovenko's management has the right to request for correction and corrective action, suspend, withdrawn or publish the transgression and if necessary intervene with legal action depending on the gravity of the matter.

SMC Slovensko a.s. hasn't got any obligation on the positive result of the audit, nor in relation to the issue of the certificate.

3. Certification issue

Certification request

After the preliminary contacts and the exchange of information, the COM of the SMC Slovensko a.s. sends to the applying organization the price offer form (contract) (form. 7.3) that the organization will complete, sign and send back together with the documents required. SMC Slovensko a.s. calculates audit time on IAF mandatory document IAF MD5 and IAF MD 22 in current revision considering the total employees of the clients, and on the base of IAF MD 11:2013 for integrated management systems. In the case of OH&SMS operated over multiple sites, SMC Slovensko a.s. establish if sampling is permitted or not based on the evaluation of the level of OH&S risks associated to the nature of activities and processes carried out in each site included in the scope of certification. Reference is IAF MD 22 appendix B.

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After the reception of the form the COM of SMC Slovensko a.s. starts the review and sends to the organizations the confirmation of the offer. When SMC Slovensko a.s. declines an application for certification as a result of the review of application, the reasons for declining an application shall be documented and made clear to the client. SMC Slovensko a.s. select the audit team taking into account the required competences. The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters who shall operate under the direction of an auditor. Where translators or interpreters are used, they are selected in order not to influence the audit. A technical expert do not act as an auditor in the audit team. They are accompanied by an auditor. Auditors in training may be included in the audit team as participants, provided an auditor is appointed as an evaluator. The presence and justification of observers and technical experts during an activity is agreed to by SMC Slovensko a.s. and client prior to the conduct of the audit. The audit team ensure that observers do not influence or interfere in the audit process or outcome of the audit. Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

Each auditor shall be accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guides are assigned to the audit team to facilitate the audit. The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit. The responsibilities of a guide can include: establishing contacts and timing for interviews, arranging visits to specific parts of the site or organization, ensuring that rules concerning site safety and security procedures are known and respected by the audit team members, witnessing the audit on behalf of the client, providing clarification or information as requested by an auditor. Before the audit the customer can require a preliminary visit at his site in order to obtain by the SMC Slovensko a.s. a judgment on the adequacy level and application status of the management system in conformance with the referring Standards and the certification scope.

Upon client's request a preliminary audit can be made (before or at the same time of the beginning of certification process, in any case cannot be at the same time of stage 1). The

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results of preliminary audit are reported, but are not considered for the following audit (stage 1+ stage 2).

In case of multisite, SMC Slovensko a.s. develops a sample plan that guarantees a correct audit. The reasons for sampling are reported. The reference for the calculation of sample and for the audit duration, are documents IAF MD01:2018 e IAF MD 5, ISO/IEC 27006 ISO 22003 and ISO50003, in current revision.

Audit stage1

The SMC Slovensko a.s. provides the name of and, when requested, makes available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or technical expert and for our body to reconstitute the team in response to any valid objection. Maximum time to reject an auditor is 5 days.

The stage 1 audit is performed

a) to review the client's management system documented information;

b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;

c) to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

d) to obtain necessary information regarding the scope of the management system including:

- the client's site;

- processes and equipment used;

- levels of controls established (particularly in case of multi-site);

- applicable statutory and regulatory requirements and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);

e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;

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f) to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects;

g) to evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

For most management systems, it is recommended that at least part of the stage 1 audit is carried out at the client's premises in order to achieve the objectives stated above. For ISO 37001 stage 1 is performed at client's site.

The TA continues the evaluation of the structure, policies, procedures and their effective implementation in order to be sure of the conformity of the management system and of food safety management systems of the organization to the referring standards and to the approved documentation and also its capacity to reach the fixed goals.

Where an organization has implemented an externally developed combination of control measures, the stage 1 audit shall review the documentation included in the FSMS to determine if the combination of control measures is suitable for the organization, was developed in compliance with the requirements of ISO 22000, and is kept up to date.

The availability of relevant authorizations is checked when collecting the information regarding the compliance to regulatory aspects.

It will also be verified the admissibility of eventual exclusions indicated in the quality manual of the organization with the details and the relative reasons. Eventual deficiencies will be notified as major nonconformities (see afterwards). The presence of eventual consultants as observers must be asked by the organization to the audit team and approved by the latter during the opening visit.

The RTA sends to customer a report (form. 7.7 stage 1) with the findings, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.

If the findings are too relevant to stop the certification process, the customer must communicate to SMC Slovensko a.s., for a further examination, the actions they are going to

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perform in order to solve the nonconformities before reaching the next step to the certification, except from those ordinances provided by the SMC Slovensko a.s.

Stage 1 ends with the planning activity of stage 2. The date for performing stage 2 depends on the findings of stage 1. If any significant changes which would impact the management system occur, SMC Slovensko a.s. considers the need to repeat all or part of stage 1.

 In any case the time between stage 1 and stage 2 cannot be more than 6 months. After 6 months the process begins again. Between stage 1 and stage 2, there aren't communication between client and SMC Slovensko a.s. on how to solve the problems arisen in stage 1. SMC Slovensko a.s. could need to revise its arrangements for stage 2.

For FSMSs: The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the organization's FSMS and organization's state of preparedness for audit by reviewing the extent to which:

a) the organization has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements),

b) the FSMS includes adequate processes and methods for the identification and assessment of the organization's food safety hazards, and subsequent selection and categorization of control measures (combinations),

c) the FSMS includes adequate processes and methods for the identification and implementation of relevant food safety legislation;

d) the FSMS is designed to achieve the organization's food safety policy,

e) the FSMS implementation programme justifies proceeding to the audit (stage 2),

f) the validation of control measures, verification of activities and improvement programmes conform to the requirements of the FSMS standard,

g) the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and

h) there is any additional documentation which needs to be reviewed and/or information which needs to be obtained in advance.

For FSMS, the stage 1 is carried out at the client's premises in order to achieve the above objectives.

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For Food safety management systems:

The audit of food safety management system as above written, includes visit in the office and at the production unit.

SMC Slovensko a.s. verifies the application of all requirements of the reference standard; the activity of audit is performed on site or in yard site. The scope recognized to the company is only for the activities checked on site.

Audit time is calculated basing on Annex B ISO 22003-1:2022. Provisionally for the first certification the minimum audit time is calculated on the basis of on site audit time, on the number of HACCP study, on the number of audit days for absence of certified relevant management system, on the number of audit days per number of employees.

For ISMS

In this stage of the audit, SMC Slovensko a.s. obtain documentation on the design of the ISMS covering the documentation required in ISO/IEC 27001.

As a minimum, the following information shall be provided by the client during stage 1 of the certification audit:

a) general information concerning the ISMS and the activities it covers;

b) a copy of the required ISMS documentation specified in ISO/IEC 27001 and, where required, other associated documentation.

The certification body shall obtain sufficient understanding of the design of the ISMS in the context of the client's organization, risk assessment and treatment (including the controls determined), information security policy and objectives and, in particular, of the client's preparedness for the audit. This shall be used for planning the stage 2 audit.

The results of stage 1 are documented in a written report. SMC Slovensko a.s. review the stage 1 audit report before deciding on proceeding with stage 2. SMC Slovensko a.s. shall be confirm the stage 2 audit team members have the necessary competence. This may be done by the auditor leading the team that conducted the stage 1 audit if deemed competent and appropriate.

SMC Slovensko a.s. make the client aware of the further types of information and records that may be required for detailed examination during stage 2.

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Audit Stage 2

SMC Slovensko a.s. sends the inspection plan to the client containing the details of the activities to be carried out. Any objections from the client must be promptly communicated by the client to SMC Slovensko a.s.

The verification team, under the guidance of the group manager and in accordance with the previously transmitted plan, carries out an inspection visit to the client's headquarters, offices and any production sites and, if necessary, also to external contractors of activities (outsourcing). It proceeds to evaluate the structure, policies, procedures and their effective implementation in order to ascertain the conformity of the organization's management system to the reference standard and the approved documentation and its ability to achieve the planned objectives.

At the closing meeting, the verification team manager communicates the results of the verification to the organization's management and provides the necessary clarifications by formalizing the non-conformities detected and distinguishing between major and minor non-conformities and observations.

During the closing meeting, the organization may formulate remarks, observations or suggestions regarding the work and behavior of each individual member of the verification team. This right may however be exercised by the customer within 15 consecutive days from the end of the verification by forwarding complaints, observations or suggestions directly to the attention of the Technical Area of SMC Slovensko a.s.

Certification is not issued if there are serious, various and extensive non-conformities that, according to SMC Slovensko, could compromise the effectiveness of the system operation and the conformity of the products in accordance with the specified requirements, non-conformities that have not been resolved with further visits to the organization, documented tests or during surveillance, as specified below.

Certification may be issued in the presence of minor non-conformities, for which the organization has already defined corrective and preventive actions that SMC Slovensko as will evaluate with additional checks at the organization's site or with documented tests or during subsequent surveillance as specified below.

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At the end of the inspection, the organization will be issued with the following documents:

• Copy of the Audit Report

• Copy of the Diary/three-year planning

• Copy of any non-conformities detected during the audit

Once the audit is completed, the Lead auditor sends the audit documentation to SMC Slovensko a.s. SMC Slovensko reviews the corrections, the causes identified and the corrective actions proposed by the customer to determine whether these are acceptable. SMC Slovensko verifies the effectiveness of each treatment and corrective action adopted. The evidence obtained to support the resolution of the non-conformities is recorded. The customer is informed of the outcome of the review and audit. The verification of the effectiveness of the correction and corrective action can be performed on the basis of a review of the documentation provided by the customer or, where necessary, through a field audit. If it is not possible to verify the closure of the major non-conformity within 6 months from the last day of stage 2, SMC Slovensko will perform stage 2 again.

Specific requirement for food safety management systems

The audit of the food safety management system, as written above, includes visits to the office and to the production unit. SMC Slovensko a.s. verifies the application of all the requirements of the reference standard; the audit activity is carried out on site or at the construction site. The scope recognized to the company is only for the activities verified on site. The audit time is calculated on the basis of Annex B ISO 22003-1:2022. Provisionally for the first certification the minimum audit time is calculated on the basis of the on-site audit time, the number of HACCP studies, the number of audit days due to the absence of a certified management system, the number of audit days per number of employees.

For ISMS

Based on the findings documented in the stage 1 audit report, the SMC Slovensko a.s. develop an audit plan for the conduct of stage 2. In addition to evaluating the effective implementation of the ISMS, the objective of stage 2 is to confirm that the client adheres to its own policies, objectives and procedures.

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To do this, the audit shall focus on the client's:

a) top management leadership and commitment to the information security objectives;

b) assessment of information security related risks; the audit shall also ensure that the assessments produce consistent, valid and comparable results, if repeated;

c) determination of controls based on the information security risk assessment and risk treatment processes;

d) information security performance and the effectiveness of the ISMS, evaluating these against the information security objectives;

e) correspondence between the determined controls, the Statement of Applicability, the results of the information security risk assessment, the risk treatment process and the information security policy and objectives;

f) implementation of controls taking into account the external and internal context and related risks, and the organization's monitoring, measurement and analysis of information security processes and controls, to determine whether controls declared as being implemented are actually implemented and effective as a whole;

g) programmes, processes, procedures, records, internal audits and reviews of the ISMS effectiveness to ensure that these are traceable to top management decisions and the information security policy and objectives.

Nonconformities and corrective /preventive actions

The nonconformities notified to the organization are classified into major, minor or observations

Major nonconformities:

–   Absence of relevant elements of the management system towards the referring standards;

–   Lack of fulfilment of a requirement (specified or implicit) even compulsory of the customer, with the objective evidences, that can jeopardise significantly the conformity of the product/service supplied;

–   Lack of authorization , licences, environmental permissions required in conformance with the laws connected with the activities performed

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Minor nonconformities:

– Partial absence of an element of the management system towards the referring standard;

- Lack of fulfilment of a requirement (specified or implicit) even compulsory of the customer, with the objective evidences, that can't jeopardise significantly the conformity of the product/service supplied;

– Lack of documents of an element of the management system that is carried out;

– Not recurring mistakes due to lack of attention or forgiveness.

Observations:

– Situations that can be improved ;

– Findings that can became nonconformities;

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The organization has the responsibility to define and notify, for the approval of the SMC Slovensko a.s., the actions to solve the nonconformities or the preventive/corrective actions that the organization wants to put into practice respecting the time limit required for the type of nonconformity as mentioned in the nonconformity report.

Certification issue

After having performed all the duties provided by the function competent, the audit documents are reviewed and deliberated. After the deliberating committee analysis, in case of change of scope the client is required to accept the changes. If DEL approves the certification, then the certificate is prepared and signed by AU and QR code is added. The certificate is valid for three years, however its validity depends on the positive result of the surveillances. After the 3 years, the system's review will be performed, and in case of positive result , the certificate will be re-issued.

The SMC Slovensko a.s. will send via mail the certificate together with the regulation on the use of the mark

The Committee for safeguarding impartiality of SMC Slovensko conducts a review at least once a year, of the impartiality of the audit, certification and decision making processes of the SMC Slovensko.

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It examines the files of some clients (sampling) and has the faculty of asking to the deliberating and suggesting committee explanations or integrations of documents, and if necessary, re-examines the dubious files. It examines also the report of the deliberating committee, and at the end of the activity, the president of the committee signs the report.

For ISMS

The certification decision shall be based on the certification recommendation of the audit team as provided in their certification audit report.

Certification shall not be granted to the client until there is sufficient evidence to demonstrate that arrangements for management reviews and internal ISMS audits have been implemented, are effective and will be maintained.

Recording of the certified system

The data of the certifications granted are written by AMM of the SMC Slovensko a.s. in the register of the certified organizations. Anybody can make inquiries on the status of certified clients by mail. Validity of certificates can be checked through SMC Slovensko's web site through the QR code.

SMC Slovensko a.s. issues digital certificates in possession of QR code (Quick Response Code) that allows an immediate test of validity. Digital certificate represents the original certificate. To certified organization will be enough to print the digital certificate.

4.   Certification maintenance

Periodical surveillances

In order to evaluate the maintenance and the efficacy of the management system in accordance with the requirements of the Standards, the SMC Slovensko carries out periodical surveillances at the certified organization's site at least once a calendar year except in recertification years.

The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date. Clients will receive notice about the date. Payment of the invoice related to the surveillance must be done before audit on site otherwise the audit will not be performed. Before performing surveillance audit, SMC

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reviews the offer in order to check if the conditions of the initial offer are changed. If so, man/days and price can be modified

The time between one audit and the following audit (for example between two surveillance) should be at least 6 months. If not (for example under request of the client), we consider it as an extra audit.

If a client has a certificate with a deadline in the first semester of the year, the second surveillance will be planned within 6 months from the deadline of the certificate and in any case within the solar year before the deadline, if not the certificate will be suspended. The surveillance will be done within 3 months before the deadline, otherwise the certificate will be withdrawn.

For ISMS

Surveillance audit procedures shall be a subset of those for the certification audit of the client's ISMS.

The purpose of surveillance is to verify that the approved ISMS continues to be implemented, to consider the implications of changes to the ISMS initiated as a result of changes in the client's operational practices and to confirm continued compliance with certification requirements. Surveillance audit programmes shall cover at least:

a) the ISMS maintenance elements such as information security risk assessment and control maintenance, internal ISMS audit, management review and corrective action;

b) communications from external parties as required by ISO/IEC 27001 and other documents required for certification.

As a minimum, every surveillance audit by SMC Slovensko a.s. review the following:

a) the effectiveness of the ISMS with regard to achieving the objectives of the client's information security policy;

b) the functioning of procedures for the periodic evaluation and review of compliance with relevant information security legislation and regulations;

c) changes to the controls determined, and resulting changes to the SoA;

d) implementation and effectiveness of controls indicated in the audit programme.

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SMC Slovensko a.s. is able to adapt its programme of surveillance activities to reflect the information security issues related to risks and impacts on the client and justify this programme.

Surveillance audits may be combined with audits of other management systems. Audit reports clearly indicate the aspects relevant to each management system.

During surveillance audits, SMC Slovensko a.s. check the records of appeals and complaints brought before the certification body. Where any nonconformity or failure to meet the requirements of certification is revealed, SMC Slovensko a.s. shall check that the client has investigated its own ISMS and procedures, and has taken appropriate corrective action.

The surveillance report contain, in particular, information on clearing of nonconformities revealed previously, the version of the SoA and important changes from the previous audit.

Special audits

Extension

The organization can ask for the extension of the application field of the certification to include new type of services/products, new offices or production sites, that previously have been excluded with specific reasons managed afterwards in the certified system.

In this case, the process to follow is the same and identical to the initial request. The extension of the audit, in connection with the entity of the changes requested and in conformity with the procedures and applicable regulations, can produce a complete repetition of the certification process, this may be conducted in conjunction with a surveillance audit.

The DT is responsible for this.

After the extension has been given, the certificate is re-issued and the previous must be given back by the organization to the DT of the SMC Slovensko a.s.

Special audit for OH&S

Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that SMC Slovensko a.s. becomes aware that there has been a serious incident related to occupational health and safety, for example a serious accident or a

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serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. SMC Slovensko a.s. document the outcome of its investigation.

 Information on incidents such as serious accidents, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, provides grounds for SMC Slovensko a.s. to the decide on the action to be taken, including suspension or withdrawal of the certification , in case where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements. Such requirements are part of the contractual agreements between the SMC Slovensko a.s. and the client.

Short-notice audits

The SMC Slovensko a.s. has the right to perform additional audits at short notice to investigate complaints, or in response to changes, or as follow up on suspended clients, or to verify the application and efficacy of the corrective actions, that have been defined by the organization after the findings of the previous audit, or as consequence of necessities appeared during the issue of the certificate always giving its communication in advance, done by the DT.

SMC Slovensko describes and makes known in advance to the certified clients the conditions under which these short notice visits are to be conducted, and our body exercises additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

At the end of the audit the RTA entrusted will give to the organization the audit report

5. Re-certification of the certification

Before the expire of the certificate the DT of the SMC Slovensko a.s., informs in advance, the certified organization about the modalities to follow in order to perform the renewal of the certification for other 3 years. Clients should fill in the informative questionnaire with personal data. These data include personnel (internal and outsourced). SMC Slovensko a.s. calculates audit time on the base of IAF document IAF MD 5, IAF MD22 and IAF MD 11:2013 and, for ISMS, based on the Annex B and C of the ISO/IEC 27006-1:2024.

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A recertification audit is planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document.

The recertification audit consider the performance of the management system over the period of certification, and include the review of previous surveillance audit reports. (Documents review audit and on site audit). The certificate is re-issue with the date of the previous emission and with the date of the present emission.

Recertification audit activities may need to have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation).

In the case of multiple sites or certification to multiple management system standards being provided by our body, the planning for the audit ensures adequate on-site audit coverage to provide confidence in the certification.

If SMC Slovensko a.s. has not completed the recertification audit or if SMC Slovensko a.s. is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification is not recommended and the validity of the certification is not extended. The client is informed by email/fax and the consequences explained.

Re-certification audit

The recertification audit includes an on-site audit that addresses the following:

a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;

b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;

c) whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives.

When, during a recertification audit, instances of major nonconformity are identified, SMC Slovensko a.s. defines time limits for correction and corrective actions to be implemented prior to the expiration of certification.

<u>For ISMS</u>

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Re-certification audit procedures shall be a subset of those for the initial certification audit of the client's ISMS.

The time allowed to implement corrective action is consistent with the severity of the nonconformity and the associated information security risk.

Multi-site organization

Reference for the calculation of multi-site is IAF MD1, while in certifying FSMS multisite, reference is ISO 22003-1:2022, in EnMS is ISO 50003 in current revision, in ISMS reference is ISO 27006:2024.

In detail:

In case of **FSMS**

A multi-site organization is an organization having an identified central function at which certain FSMS activities are planned, controlled or managed, and a network of sites at which such activities are fully or partially carried out.

Examples of multi site organizations are:

-Organization operating with franchises

-Producer groups (for categories A and B)

-A manufacturing company with oe or more production sites and a network of sales offices

-Service organizations with multiple sites offering a similar service

-Organizations with multiple branches

Sampling of multi sites organizations covers all activities

When multi site sampling is undertaken, SMC Slovensko a.s. justifies and documents the rationale based on the following conditions:

-sites are operating under one centrally controlled and administered FSMS

-sites subject to sampling are similar (food chain subcategory, geographical location, processes and technologies, size and complexity, regulatory and statutory requirements, customer requirements, food safety hazard and control measures)

-the central function is part of the organization, clearly identified and not subcontracted to an external organization

-all sites have a legal or contractual link with the central function

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-the central function has organizational authority to define, establish and maintain the FSMS

-all sites are subjected to the organization's internal audit programme and have been audited audit findings at a site are considered indicative of the entire FSMS and corrective actions are implemented accordingly

-the central function is responsible for ensuring that outcomes of performance evaluation and customer complaints from all site are collected and analysed.

-The organization's FSMS is subjected to central management review

-The central function has authority to initiate continual improvement of the FSMS

The central function is where operational control and authority from the top management of the organization is exerted over every site. There is no requirement for the central function to be located in a single site

Where multi-site sampling is permitted, SMC Slovensko defines and utilizes a sampling programme to ensure an effective audit of the FSMS where the following conditions apply:

a) at least annually, an audit of the central function for the FSMS is performed prior to the sampled site audits

b) at least annually, audits are performed on the require number of sampled sites

c) audit findings of the sampled sites are assessed to ascertain if these indicate an overall FSMS deficiency and therefore can be applicable to some or all other sites.

d) where audit findings of the sampled sites are assessed to ascertain if thee indicative of the entire FSMS, corrective actions are implemented accordingly

e) for organizations with 20 sites or fewer, all sites are audited.

The size of the sample is increased or terminated the sample where the FSMS subject to certification does not indicate the ability to achieve the intended results.

SMC Slovensko a.s. justifies its decision on sampling for multi-site certification (mod 7.24)

The sample is partly selective and partly random and results in a representative range of different sites being selected, ensuring all processes covered by the scope of certification will be audited.

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At least 25% of the sample is selected at random. The reminder is selected so that the differences among the sites selected over the period of validity of the certification are as large as possible.

The site selection considers, among others, the following aspects:

a) results of internal audits, management reviews or previous audits;

b) records of complaints, product withdrawals/recalls, and other relevant aspects of corrective actions

c) variations in the site characteristics

d) other relevant changes since the last audit

If any site has a major non conformity and satisfactory corrective action have not been implemented in the agreed time frame, certification will not be granted or maintained for the whole multi-site organization pending satisfactory corrective action.

SMC Slovensko identifies and includes in the scope of certification the process of the FSMS implemented at each sampled site.

In case of **EnMS**

A multi site organization is defined as an organization having an identified central office and a network of local offices or branches at which certain activities are fully or partially carried out. A multisite need not be a unique legal entity, but all sites should have a contractual link with the central function of the client. The central function has the authority to require that the sites implement corrective actions when needed. Where it is not practible to define a site (e.g. services) the coverage of the certification takes intoaccount the client organization's central function activities as well as delivery of its services. Where relevant SMC Slovensko a.s. can decide that the certification audit is carried out where the client delivers its services and its central function is identified and audited.

It should be demonstrated that the central office has established an EnMS and that the whole organization under the scope of the EnMS audit meets the requirements of the EnMS. In order to for the organization to be eligible for sampling:

a)   the client has a single EnMs

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b)   the client identifies its central function, that is part of the client organization and is not subcontracted to an external organization

c) the central function has organizational authority to define, establish and maintain the single EnMS

d) the data appropriate for demonstrating energy performance is collected and can be analyses by the central function

e) the client organization's single EnMS is subjected to centralized management reviews

f) all sites are subjected to the client organization's internal audit programme.

The central function is responsible for ensuring that data from all sites is collected and analyzed. It should be able to demonstrate its authority and ability to initiate organizational change as required in regard to, but not limited to, the data given in table B1 and B2.

TABLE B1- management system data:

management system
system documentation and system changes
management review
evaluation of corrective actions
internal audit planning and evaluation of the results;
demonstrate its authority to collect information on legal and other requirements and initiate organizational change if necessary;

TABLE B2_ energy performance data

energy performance
consistent planning process
consistent criteria for determining and adjusting or revising EnB(s), relevant variables and energy performance indicators (EnPls)
consistent criteria for establishing objectives and targets and action plans
centralized processes for evaluating applicability and effectiveness of action plans and EnPIs
Consistent criteria for evaluating energy performance improvement

A sampling method can be used if an organization meets one or more of the following conditions:

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a) all sites are operated using similar activities or processes or SEUs

b)   a certain number of sites can be organized into subsets that can be sampled where each site within the subset is operated using similar activities or processes or SEUs

c)   several sites can be considered a single site if they are in close proximity to each other.

where some of the sites under consideration have similar, but fewer, activities or processes than others, they can be eligible for inclusion under multi-site certification provided that the sites which perform the most energy intensive processes are subject to more frequent audit

The energy performance of the sites can be considered independently or a whole. This is documented in the plan for the sampling (audit programme form)

The site selection includes a review of energy sources and energy consumption, and the followings:

a) results of internal site audits and management reviews or previous certification audit;

b) significant variations in the size of the sites;

c) variations in shift patterns and work process or procedures;

d) complexity of the management system;

e) processes conducted at different sites;

f) modifications since the last certification audit;

g) SMC Slovensko's knowledge of the organization;

h) differences in language and legal and other requirements;

i) geographical dispersion;

j) complexity of energy types, energy consumption and SEUs;

k) energy performance.

This selection can also be done once the audit at the central office has been completed. The central office is informed by SMC Slovensko of the sites to be included in the sample, in time for preparation for the audit.

Size of the sampling

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SMC Slovensko keeps records of the each application of multi site sampling in the appropriate folder "offer". The central office is audited during every initial certification and recertification audit and at least annually as a part of surveillance. The audit at the central office includes a review of the survey of energy performance from all the sites included in the entire organization certificate. The size and frequency of the sample is increased in these circumstances:

a) the size of the sites and number of EnMS effective personnel;

b) differences in working pratices (e.g. shifts);

c) differences in activities undertaken;

d) differences in the energy use and energy consumption;

e) evidences of corrective action retained as documented information;

f) applicable legal requirements or other requirements

g) results of internal audits and management review

h) the ability to demonstrate energy performance improvement and improvement of the EnMs.

Selection of temporary sites:

SMC Slovensko retains information on the sites selected including any temporary sites which were operational and included in the sample.

The selection of temporary sites takes into account:

- EnMS effective personnel;

-evaluation of the risks related to energy performance and energy performance improvements

-energy consumption

-types of energy that cross the boundaries of the EnMS

-variety of equipment, processes, systems or facilities and the various stages of projects

-the transient nature of the sites.

If different criteria are applied, then justification are provided

The central office is audited during every initial certification and recertification audit and at least annually as a part of surveillance

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The minimum number of sites to be visited per audit is as follows:

-Initial certification audit: the size of the sample (wide) (Y) shall be the square root of the number of remote sites (x) rounded to the upper whole $Y=\sqrt{x}$

- Surveillance audit: the size of the annual sample is the square root of the number of remote sites with zero point six as the coefficient, rounded to the upper whole number $Y=0.6\sqrt{x}$

-Re-certification audit: the size of the sample is the same as that for the initial audit

Nevertheless, where the EnMS has proved to be effective over a period of three years, the sample size is reduced by a factor 0,8, rounded up to the nearest whole number $Y=0.8\sqrt{x}$

When a new site chooses to join an already certified multi-site network, each new site is considered as an independent set for the determination of the sample size. After inclusion of the new site in the certificate, the new site is added to the existing ones for determining the sample size for future surveillance or recertification audits.

For **ISMS**

Where a client has a number of sites meeting the following criteria, SMC Slovensko considers using a sample-based approach to multiple-site certification audit:

a) all site are operating under the same ISMS, which is centrally administered and audited and subject to central management review;

b) all sites are included within the client organization's internal ISMS audit programme;

c) all sites are included within the client organization's ISMS management review programme

In case of multiples sites audit SMS Slovensko a.s. ensures that:

A. The initial contract review identifies, to the greatest extent possible, the difference between sites such that an adequate level of sampling is determined.

B. The choice of a representative number of sites to be verified will be made taking account:

1. the results of internal audits of head office and the sites,

2. the results of management review,

3. variations in the size of the sites,

4. variations in the business purpose of the sites,

5. complexity of the information systems at the different sites,

6. variations in working practices,

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7. variations in activities undertaken,

8. variation of design and operational controls

9. potential interaction with critical information systems or information systems processing sensitive information,

10. any differing legal requirements

11. geographical and cultural aspects

12. risk situation of the sites

13. information security incidents at the specific sites

C. A representative sample is selected from all sites within the scope of the client organization's ISMS; this selection should be based upon judgmental choice to reflect the factors presented in item b) above as well as a random element

D. Every site included in the ISMS which is subject to significant risks is audited by the certification body prior to certification.

E. The audit programme has been designed in the light of the above requirements and covers representative samples of the scope of the ISMS certification within the three years period;

F. In the case of a nonconformity being observed, either at the head office or at a single site, the corrective action procedure applies to the head office and all sites covered by the certificate

The audits addresses the client's head office activities to ensure that a single ISMS applies to all sites and delivers central management at the operational level. The audit addresses all the above issues. Where there are multiple sites not covering the same activity sampling is not used.

6. **Changes to the certification**

If there are substantial changes to the certification scheme, the DT of the SMC Slovensko a.s. will inform via email or fax the organizations and parts involved to take into consideration the observations presented by them, and to communicate to the organizations involved the date of coming into force of these changes, and the actions to perform and the time allowed to conform to them

7. **Suspension and withdrawal of the certification and reducing the scope of certification**

Suspension

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The SMC Slovensko a.s. can suspend the certification already issued for a maximum of 6 months for serious reasons that have to be formalised in writings with registered letter A/R or via fax or e-mail to the organization involved by the DT.

These are considered serious reasons:

– the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,

– the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies

– the certified client has voluntarily requested a suspension

– he lack of management of the complaints of the organization

– The absence of nonconformities' resolutions through corrective/preventive actions;

– The lack of solving, under the dispositions of the SMC Slovensko a.s., of the wrong use of the mark or of the certificate

– The absence of any notification concerning relevant changes to the quality system management and their put into action without the approval of the DT of the SMC Slovensko a.s.;

– The lack of adequacy of their system to the new dispositions of the SMC Slovensko a.s.

– The lack of performing surveillance visit due to client

– The lack of payment of invoices for surveillance activities

– Client's system seriously fail to meet the OH&S certification requirements

– In case of ISO 37001, in case of scandals or legal procedures for corruption, after the appropriate analysis and evaluations

– Misuse of IAF CERTSEARCH Mark

The notification of the suspension to the organization contains the dispositions and the time limit to respect in order to allow the revoke.

Under suspension, the client's management system certification is temporarily invalid (the client refrains from further promotion of its certification) and a consequence of the suspension is the cancellation of the name of the organization from the list of the certified organizations for the entire period of suspension.

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– If the organization solves in the way and time allowed, the requests of SMC Slovensko a.s., the suspension will be revoked and it will be communicated to the organization. Otherwise the SMC Slovensko will withdraw the certification or reduce it in case of partial suspension.

– The suspension can be published depending on the SMC Slovensko a.s. will. In that case the eventual following revoke will be published too.

Withdrawal

– The SMC Slovensko a.s. has the right to revoke the issued certification without the necessary suspension of it. It is possible to do that for reasons considered serious that have to be formalized in writings through registered letter A/R or via fax or e-mail to the organization involved.

– Serious reasons are for example:

– Not respecting the conditions wanted by the SMC Slovensko a.s. for the withdrawal of the suspension of the certification;

– The surveillances reveal serious and repetitive lacks of the management system of the organization

– Interruption of the activity of production and / or supply of the products/services belonging to the object of certification for a long time (more than 1 year);

– Not respecting the financial obligations agreed with the SMC Slovensko a.s. in the certification contract;

– Not conforming to the changes of the system of the SMC Slovensko a.s.

– Non solving the customer' s complaints;

– Not respecting the agreements with the SMC Slovensko a.s.;

– Renouncing voluntary and formally to the certification;

– Client's system seriously fail to meet the OH&S certification requirements

– In case of ISO 37001, in case of scandals or legal procedures for corruption, after the appropriate analysis and evaluations

The withdrawal is published and after that the organization must:

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– Return the original certification to the SMC Slovensko a.s.;

– Not employ the copies or reproductions of the certificate;

– Cancel from the technical documents or publicity any reference to the certification and cease employing the mark;

If after the withdrawal of the certification, the organization keeps on referring to it, the SMC Slovensko a.s. can start legal actions.

Reduction

The organization can also ask for a reduction of the application field of the certification in case for example of dismantling of lines of production of sites or other exclusion for specific reasons. The request is evaluated by the DT of the SMC Slovensko a.s. and, if possible prepared. Furthermore the SMC Slovensko can reduce the certificate on his initiative in case of lack of performance of the SMC's ordinances to the revocation of partial suspensions of the certification or if the organization doesn't produces a specific product/service that is the object of the certification from more than a year.

After the reduction of the certificate, it must be re-issued and the previous must be returned by the organization to SMC Slovensko a.s.

8. Transfer

The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one accredited certification body, by another certification body for the purpose of issuing its own certification.

Minimum requirements

Only certifications which are covered by an accreditation of an IAF MLA signatory are eligible for transfer. Organization holding certifications that are not covered by such accreditations will be treated as new clients. Certification which is known to be suspended is not accepted for transfer.

In case where certification has been granted by a certification body which has ceased trading or whose accreditation has expired, been suspended or withdrawn, the transfer is completed within 6 months or on expiration of the certification whichever is sooner. In such cases, SMC

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Slovensko a.s. as accepting certification body, informs the accreditation body, under whose accreditation it intends to issue the certification prior to the transfer.

Pre-Transfer Review

A competent person from our certification body carries out a review of the certification of the prospective client. This review is conducted by means of a documentation review and where identified as needed by this review, for example there are outstanding major non conformities, includes a pre-transfer visit to the transferring client to confirm the validity of certification. The pre-transfer visit is not an audit.

Generally, the pre transfer review is conducted by COMM that has the necessary competence to verify if the perspective client is eligible for transfer. Other people with competence can conduct the review with COMM. The individual or group conducting pre transfer visit have the same competences that is required for an audit team appropriate for the scope of certification being reviewed. They are appointed by AU/DT, who check their competences, before the pre transfer visit.

The review as minimum covers the following aspects and the review and its findings are documented:

- Confirmation that the client's certified activities fall within the accredited scope of the issuing and accepting certification body

- Confirmation that the issuing certification body's accredited scope falls within its accreditation body's MLA scope

- Reason for seeking transfer.

- That the site or sites wishing to transfer certification hold a valid

- The initial certification or most recent recertification audit reports, and the latest surveillance report; the status of outstanding non conformities that may arise from them and any other available, relevant documentation regarding the certification process. If these audit reports are not made available or if the surveillance audit or recertification audit has not been completed as required by the issuing certification body's audit programme, then the organization is treated as a new client.

- Complaints received and action taken

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- Considerations relevant to establishing an audit plan and an audit programme. The audit programme established by the issuing certification body should be reviewed if available.
- Any current engagement by the organization with regulatory bodies relevant to the scope of the certification in respect of legal compliance

Transfer of Certification

SMC Slovensko a.s. do not issue certification to the transferring client until:

- It as verified the implementation of corrections and corrective actions in respect of all outstanding major non conformities, and;
- It has accepted the transferring client's plan for correction and corrective action for all outstanding minor nonconformities.

Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of the transfer, SMC Slovensko a.s. treats the transferring client as a new client. The justification for this action is explained by email to the transferring client, copy of the email is kept in the software.

Who decides on the certification issue is different from those who carries out the pre-transfer review.

If there aren't problems in the pre-transfer review, the certification cycle is based on the previous certification cycle and SMC Slovensko a.s. establishes the audit programme for the remainder of the certification cycle.

If the client requires, it is possible to quote the organization's initial certification date on the certification documents with the indication that the organization was certified by a different certification body before a certain date.

Where SMC Slovensko a.s. has had to treat the client as a new client as a result of the pre-transfer review, the certification cycle begin with the certification decision.

SMC Slovensko a.s. takes the decision on certification before any surveillance or recertification audits are initiated.

Cooperation between the issuing certification body and SMC Slovensko a.s.

When requested, the issuing certification body must provide to SMC Slovensko a.s. (and vice versa in case SMC Slovensko a.s. is the issuing certification body) all the documents and information required by IAF MD 2:2017 (report, non-conformities and status of the

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certificate). Where it has not been possible to communicate with the issuing certification body, SMC Slovensko a.s. records the reasons and makes every effort to obtain necessary information from other sources.

The transferring client must authorise that the issuing certification body provides the information sought by the accepting certification body. The issuing certification body must not suspend or withdraw the organization's certification following the notification that the organization is transferring to the accepting certification body if the client continues to satisfy the requirements of certification.

The accepting certification body and/or the transferring client contact the accreditation body which accredits the issuing certification body where the issuing certification body:

- Has not provided the requested information to the accepting certification body, or
- Suspends or withdraws the transferring client's certification without cause.

Once the accepting certification body has issued the certification, it shall inform the issuing certification body.

9. Reserve

The SMC Slovensko a.s. assures that all information of confidential nature, that have been acquired during the activity of certification are managed with reserve except for the laws dispositions and /or for the accreditation bodies and for the authorizations given to the involved organization.

Information about the client from sources other than the client (e.g. complainant, regulators) is treated as confidential, consistent with our body's policy

10. Complaints, appeals

Are considered:

– Appeals, formal appeals presented from any parts to the competent authority of SMC Slovensko a.s. in order to examine a situation in order to obtain change or cancellation of a decision (e.g. related to a complaint decision or a certification decision).

- Complaints, unsatisfied displays, by the subject certified or under certification in regarding to the service received (for example contractual relation, delays in the compliance of the

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various phases of the certification process, auditor's behaviour or SMC Slovensko's behaviour considered incorrect) or from any other part.

Details can be found in PQ11 published on our web site.

11. Management of Emergency

In order to guarantee auditors and clients safety, SMC Slovensko a.s. has adopted procedures for the management of emergency in conformity to IAF ID03 "Management of Extraordinary Events or Circumstances Affecting ABs", CABs and Certified Organizations", and for the management of audit with remote techniques in conformity to IAF MD04 Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes and to IAF ID 12:2015.

12. Transition to the new edition of the standard ISO/IEC 27001:2022

On 25 October 2022, the ISO/IEC 27001:2022 standard, Information security, cybersecurity and privacy protection - Information security management systems – Requirements was published.

On 15 February 2023, revision 2 of the IAF MD26 mandatory document was published, which introduces some clarifications regarding the changes introduced by the new edition of the standard and the timing of adaptation.

These times are shown below:

Certifications already issued in conformity to ISO/IEC 27001:2013:

All certifications issued under accreditation in conformity to ISO/IEC 27001:2013 should be transitioned to the new edition of the standard by 31 October 2025, otherwise they would be withdrawn.

New Certifications and renewals in compliance with ISO/IEC 27001:2022

From 30 April 2024, all new certifications and renewals must be issued exclusively in conformity to ISO/IEC 27001:2022.

The transition audit activity must include a minimum duration of 0.5 additional man/days if carried out through a renewal audit and 1 man/day if carried out through a separate or surveillance audit

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The transition audit will not only rely on the document review, especially for reviewing the technological information security controls. It will include:

- The gap analysis of ISO/IEC 27001:2022 as well as the need for changes to the client's ISMS

- The updating of the statement of applicability (SOA)

- If applicable, the updating of the risk treatment plan

- The implementation and effectiveness of the new or changed information security controls chosen by the clients

- The transition audit may be conducted remotely if the transition audit objectives are met

  SMC Slovensko a.s. makes the transition decision based on the result of the transition audit.

  The certification documents will be updated if the client's ISMS meets the requirements of ISO/IEC 27001:2022

  All certification based on ISO/IEC 27001:2013 will expire or will be withdrawn at the end of the transition period.

13. Remote audit

SMC Slovensko a.s. may consider carrying out remote audits if all of the following conditions are met:

- The customer communicates his interest in carrying out the audit in this way

- Is allowed by the certification scheme or by the specific sector of the customer (military, hospital, etc.)

- The ICT instrumentation is identified with relative adequacy for the objectives of the activity to be carried out remotely with the aim of establishing whether it is actually acceptable and satisfactory. Availability of such equipment and internet connection for the entire duration of the audit

  In cases where remote verification is applicable, SMC Slovensko a.s. will evaluate whether it can be done for all sectors/areas of activity. In any case, the remote audit is considered part of the on-site audit and the participation of the customer's personnel interested in the activity to be audited is required.

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For ISMS

When SMC Slovensko a.s. intending to conduct remote audit activities, defines procedures to determine the level of remote audit activities ("remote audits") that can be applied to auditing a client's ISMS. The procedures include analysis of the risks related to the use of remote auditing for the client, which consider the following factors:

a) available infrastructure of the certification body and the client;

b) sector in which the client operates;

c) type(s) of audit during the certification cycle from initial audit to recertification audit;

d) competence of the persons of the certification body and the client, who are involved in the remote audit;

e) previously demonstrated performance of remote audits for the client;

f) scope of the certification.

The analysis is performed prior to performing any remote audit. The analysis and the justification for use of remote audit during the certification cycle is documented.

The audit plan and audit report include clear indications if remote audit activities have been performed.

Remote audits aren't use if the risk assessment identifies unacceptable risks to the effectiveness of the audit process.

The risk assessment is reviewed during the certification cycle to ensure its continued suitability.

In case the client uses virtual sites (i.e. location where an organization performs work or provides a service using an online environment allowing persons involved to execute processes irrespective of physical locations), remote audit techniques are a relevant part of the audit plan.