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1 Uvod / Introduction

Ta dokument je namenjena ponudnikom storitev, ki želijo pridobiti potrdilo o ustreznosti (v nadaljevanju certifikat) različnim predpisom/standardom/certifikacijskim shemam. V njej so podani pogoji za certifikacijo, predstavljen je tudi celoten potek postopka od vloge za certifikacijo do izdaje certifikata o ustreznosti. Certifikat, to pomeni listina, ki jo izdamo, se lahko imenuje tudi drugače, če certifikacijska shema predvideva drugačen naslov podeljene listine. Publikacija vsebuje še informacije o vzdrževanju certifikata in o preklicu ali razveljavitvi certifikata ter o zagotovitvi zaupnosti in reševanju pritožb. Certifikacija storitev opisana v tem dokumentu ni istovetna certifikaciji sistemov vodenja. / *This document is intended for service providers who would like to obtain an attestation of conformity (hereinafter certificate) to various regulations/standards/certification schemes. It presents the requirements for certification and describes the entire procedure from application for certification to the issuing of a certificate of conformity. A certificate, i.e. a document issued by SIQ, may be named differently if a certification scheme foresees a different name for the granted document. This publication contains also information on certificate maintenance, certificate withdrawal and cancellation, confidentiality and dealing with complaints. Service certification described in this document is not identical to management systems certification.*

SIQ Ljubljana (v nadaljevanju SIQ) izvaja certificiranje storitev kot "tretja stranka", to je institucija, ki je neodvisna od ponudnikov storitev na eni ter od kupcev in uporabnikov na drugi strani. Neodvisnost je zagotovljena z ustanovitvenim statusom – SIQ je registriran kot zavod – ter s primerno organizacijo upravljanja in vodenja dejavnosti certificiranja. Dejavnost certificiranja je pod nadzorom Upravnega odbora certificiranja, ki zastopa interese javnih, gospodarskih in industrijskih združenj ter interese odjemalcev storitev instituta. / *SIQ Ljubljana (here-in-after referred to as SIQ) performs service certification as a »third party«, i.e. an institution independent of service providers on one hand, and of buyers and users on the other hand. Independence is guaranteed by its founding status – SIQ is registered as an institute – and by appropriate organization of the management of the certification activity. The certification activity is under the surveillance of the Board of Certification Body representing the interests of public, economic and industrial associations, and the interests of the users of SIQ services.*

V postopku certifikacije presodimo in ocenimo, ali storitev izpolnjuje zanj postavljene zahteve, in v primeru izpolnjevanja zahtev izdamo certifikat o ustreznosti. Odločitve o izdaji so v pristojnosti Certifikacijska komisija za proizvode, procese in storitve (v nadaljevanju KCP). / *During the certification procedure, we examine and assess whether the service meets relevant requirements and, provided it does, we issue a certificate of conformity. Decisions on the issue fall within the competence of the Certification Commission for products, processes and services (hereinafter referred to as the KCP).*

Na SIQ izvajamo eno vrsto certifikacijo storitev / *SIQ performs one type of service certification:*

- *Certifikacija storitev v okviru reguliranega področja / Service certification within the regulated field.*

2 Certifikacija storitev v okviru reguliranega področja / Service certification within the regulated field

2.1 Certifikacija po EIDAS / Certification according to eIDAS

Predmet certifikacije je storitev ali skupina storitev, za katere (za katero) naročnik želi pridobiti certifikat in ga (jo) jih je mogoče jasno in nedvoumno identificirati. Certifikat se lahko izda za / *The*

Certifikacija storitve / *Service certification*

subject of the certification is the service or group of services for which the client wishes to be certified and which can be clearly and unambiguously identified. A certificate may be issued for:

- elektronski podpis (izdaja, potrjevanje veljavnosti, hramba) / *an electronic signature (issue, validation, retention)*;
- elektronski žig (izdaja, potrjevanje veljavnosti, hramba) / *an electronic seal (issue, validation, retention)*;
- elektronski časovni žig / *an electronic time stamp*;
- storitev elektronske priporočene dostave / *an electronic registered delivery service*;
- avtentikacijo spletišč / *website authentication*.

2.2 Certifikacijski kriteriji / *Certification criteria*

Dosežen mora biti dogovor z naročnikom glede standardov, predpisov ali specifikacij, ki so podlaga za pregled in ocenitev ustreznosti npr. Certificiranje storitev zaupanja (po Uredbi (EU) št. 910/2014 – eIDAS) / *An agreement shall be reached with the applicant as regards the standards, regulations or specifications forming the basis for conformity examination and assessment, e.g. trust service certification (according to Regulation (EU) no. 910/2014 – eIDAS):*

- Elektronski podpisi: CP207 (informacije za naročnike), ETSI EN 319 401,, ETSI EN 319 411-1, , ETSI EN 319 411-2, , ETSI EN 319 412-1, , ETSI EN 319 412-2, , ETSI EN 319 412-5 / *Electronic signatures: CP207 (information for applicants), ETSI EN 319 401,, ETSI EN 319 411-1, , ETSI EN 319 411-2, , ETSI EN 319 412-1, , ETSI EN 319 412-2, , ETSI EN 319 412-5*
- Elektronski žigi: CP207 (informacije za naročnike), ETSI EN 319 401, , ETSI EN 319 411-1, , ETSI EN 319 411-2, , ETSI EN 319 412-1, , ETSI EN 319 412-3, , ETSI EN 319 412-5 / *Electronic seals: CP207 (information for applicants), ETSI EN 319 401, , ETSI EN 319 411-1, , ETSI EN 319 411-2, , ETSI EN 319 412-1, , ETSI EN 319 412-3, , ETSI EN 319 412-5*
- Elektronski časovni žigi: CP207 (informacije za naročnike), ETSI EN 319 401, ETSI EN 319 421, , ETSI EN 319 422 / *Electronic time stamps: CP207 (information for applicants), ETSI EN 319 401, ETSI EN 319 421, ETSI EN 319 422*
- Storitve elektronske priporočene dostave: CP207 (informacije za naročnike), ETSI EN 319 401, ETSI EN 319 421, ETSI EN 319 422 / *Electronic registered delivery services: CP207 (information for applicants), ETSI EN 319 401, ETSI EN 319 421, ETSI EN 319 422*
- Avtentikacija spletišč: CP207 (informacije za naročnike), ETSI EN 319 401, ETSI EN 319 411-1, ETSI EN 319 411-2, ETSI EN 319 412-1, ETSI EN 319 412-4, ETSI EN 319 412-5 / *Website authentication: CP207 (information for applicants), ETSI EN 319 401, ETSI EN 319 411-1, ETSI EN 319 411-2, ETSI EN 319 412-1, ETSI EN 319 412-4, ETSI EN 319 412-5*

Obseg akreditiranih standardov je razviden iz dokumenta AN301 – Obseg akreditiranih standardov CP-001 (eIDAS), ki je sestavni del tega dokumenta. / *The scope of accredited standards can be found in document AN301 - Scope of accredited standards CP-001 (eIDAS), which is an integral part of this document.*

3 Temeljni principi ravnanja / Fundamental principles of operation

3.1 Politika certificiranja / Certification policy

SIQ nudi storitve certificiranja vsem, ki se zanje zanimajo. / *SIQ offers service certification to all interested parties.*

SIQ, to je njegovi organi in njegovo osebje, na enak način obravnava in bo obravnaval vse naročnike svojih storitev, ne glede na njihov geografski položaj, velikost, promet, vrsto poslovanja itd., ne da bi pri tem kogarkoli kakorkoli zapostavljal. / *SIQ, i.e. its bodies and personnel, treats and shall treat all applicants equally, irrespective of their geographical position, size, turnover, type of business, etc., and without giving preference to anyone in any way.*

SIQ vzdržuje mednarodno veljavo in priznan status na področju certificiranja. SIQ si prizadeva, da imajo njegovi certifikati vedno večjo veljavo doma in v tujini. / *SIQ maintains its international reputation and recognized status in the field of certification. SIQ endeavours to ensure that its certificates are increasingly recognized at home and abroad.*

SIQ zagotavlja neodvisnost, nepristranskost in tako organizacijsko strukturo, da osebje pri opravljanju vsakodnevnih nalog ni pod vplivom kogarkoli, ki ima neposreden komercialni interes v zvezi s certificiranjem, ter da pri delu ne pride do konflikta interesov. Vzpostavljene imamo mehanizme, s katerimi rešujemo morebitne konflikte. / *SIQ ensures independence, impartiality and such an organizational structure that the personnel, while performing their daily tasks, are not under influence of anybody having direct commercial interest in relation to certification and that there is no conflict of interest in their work. We have mechanisms in place to address potential conflicts.*

SIQ izvaja certificiranje (ugotavljanje skladnosti) v skladu z zahtevami standardov SIST EN ISO/IEC 17065, SIST EN ISO/IEC 17021-x, SIST EN ISO/IEC 17024, SIST TS ISO/TS 22003, ISO 50003, ISO/IEC 27006 in ISO/IEC 20000-6, uredbe EMAS 1221/2009 ES, EIDAS 910/2014 ES, dodatnimi zahtevami drugih direktiv/uredb/pravilnikov ter veljavno pripadajočo zakonodajo za katere je imenovan kot priglašeni organ, SIST EN ISO 14065 z veljavno pripadajočo zakonodajo in morebitnimi dodatnimi zahtevami mednarodnih shem. / *SIQ performs certification (conformity assessment) in compliance with the requirements of SIST EN ISO/IEC 17065, SIST EN ISO/IEC 17021-x, SIST EN ISO/IEC 17024, SIST TS ISO/TS 22003, ISO 50003, ISO/IEC 27006 and ISO/IEC 20000-6 standards, EMAS 1221/2009 ES, EIDAS 910/2014 ES regulations, additional requirements of other directives/regulations/rules and applicable relevant legislation under which it is designated as a notified body, SIST EN ISO 14065 with the applicable related legislation and any additional requirements of international schemes.*

SIQ izvaja operativne aktivnosti po dokumentiranih postopkih, ki so podani v dokumentih sistema vodenja kakovosti za posamezna področja certificiranja, in v skladu z ostalo dokumentacijo sistema vodenja kakovosti. / *SIQ carries out operational activities according to documented procedures set out in quality management system documents for each field of certification, and according to other quality management system documentation.*

SIQ zaračunava svoje storitve v skladu z osnovami za oblikovanje cen, kot jih določa Svet SIQ. S cenami storitev SIQ pokriva tekoče stroške in vlaganja v tehnični in strokovni razvoj dejavnosti. / *SIQ charges for its services according to the pricing bases as defined by the SIQ Council. SIQ's prices for service cover running costs and investments in the technical and professional development of its activities.*

3.2 Pravila za certifikacijsko osebje / *Rules for certification personnel*

Certifikacijsko osebje pri delu upošteva slovenske, evropske in/ali mednarodne standarde ter predpise, postopke in navodila SIQ, ki urejajo delo na tem področju. Vsak član osebja, ki sodeluje v certifikacijskem postopku, se ravna po naslednjih načelih in se zavezuje, da / *In their work, the certification personnel take into account relevant Slovene, European and/or international standards and regulations, procedures and instructions of SIQ which regulate the work in this area. Each member of the personnel taking part in a certification procedure shall comply with the following principles and undertake:*

- deluje zaupno in nepristransko, tako v odnosu do SIQ kot tudi v odnosu do katerekoli organizacije, ki je vpletena v certifikacijski postopek, ki ga izvaja sam ali osebje, za katerega je odgovoren / *to work in a confidential and impartial manner in their relations to both SIQ and any organization involved in the certification procedure performed by them or by the personnel they are responsible for;*
- obvesti SIQ, če je z organizacijo, za katero naj bi izvajal certifikacijski postopek, kakorkoli povezan ali če je za storitve te organizacije v zadnjih dveh letih izvajal kakršnokoli svetovanje, preden prevzame katerokoli funkcijo v zvezi s certifikacijo storitve te organizacije / *to inform SIQ of any relations between them and the organization involved in the certification procedure they are to perform, or of any advisory activity performed by them in the past two years in connection with the certification of the services of that organization, before they take over any task in connection with the certification of the services of that organization;*
- da od organizacij, za katere izvaja certifikacijski postopek, ali od njihovih predstavnikov ali od kake druge osebe, ki bi imela pri tem kakršnokoli korist, ne sprejema nobenih namigov, daril, naročil, popustov ali kake druge koristi, ter da ne dovoli, da bi to storil kdo izmed osebja, za katerega je odgovoren / *not to accept any hints, gifts, orders, discounts, or any other benefit from the organization involved in the certification procedure they conduct or from its representatives or any other person who could take advantage of this, and not to allow any member of the personnel they are responsible for to do so;*
- da tretjim osebam niti delno niti v celoti ne razkriva izsledkov certifikacijskega postopka, v katerem sodeluje ali je sodeloval ali za katerega je odgovoren, pa tudi ne informacij, ki jih dobi v teku postopka, če ni za to pisno pooblaščen s strani organizacije, v zvezi s katero izvaja postopek, in s strani SIQ / *not to disclose to third persons, either in whole or in part, the results of the certification procedure they are involved in or have been involved in or for which they are responsible, or any other information they gain during the certification procedure, unless they have been authorized in writing by the organization in relation to which they perform the certification procedure and by SIQ;*
- da na noben način ne deluje v škodo ugleda ali interesa SIQ ali organizacije, s katero sodeluje v certifikacijskem postopku / *not to act in any way to the detriment of the reputation or interests of SIQ or the organization with which they are involved in the certification procedure;*
- da v primeru suma kršitve teh načel sodeluje v morebitnem preiskovalnem postopku / *to cooperate in a potential investigation procedure in case of a suspected breach of these principles;*
- da deluje v skladu z etičnim kodeksom SIQ / *to act in accordance with the SIQ Code of ethics.*

3.3 Pravila za vložnike/naročnike / *Rules for applicants/clients*

Vložnik/naročnik se s podpisom vloge/pogodbe zavezuje, da / *By signing the application form/contract, the applicant/client undertakes:*

Certifikacija storitve / Service certification

- bo izpolnjeval zahteve certifikacijske sheme, standardov in regulative ter morebitnih sprememb certifikacijske sheme ali standardov ali regulative po katerih je bil izveden certifikacijski postopek / *to meet the requirements of the certification scheme, standards and regulations according to which the certification procedure was performed, and potential changes thereto*;
- bodo certificirane storitve stalno izpolnjevale zahteve po katerih je bil izveden certifikacijski postopek / *that the certified services will continually comply with the requirements according to which the certification procedure was performed*;
- bo certifikacijskemu osebje omogočil neovirano izvedbo postopkov certificiranja in rednega nadzora, omogočil dostop do zahtevane dokumentacije in zapisov ter lokacij izvajanja storitve, opreme, osebja in podpodizvajalcev / *to facilitate unimpeded implementation of the certification procedure and regular supervision by certification personnel and to allow them access to the required documentation, records and locations of service provision, equipment, personnel and subcontractors*;
- bo omogočil pregled zapisov o pritožbah strank / *to allow review of records of customer complaints*;
- bo med izvedbo certifikacijskih postopkov omogočil prisotnost opazovalcev, če bo potrebno / *to allow the presence of observers during the implementation of certification procedures, if necessary*;
- bo v primeru začasnega ali trajnega preklica certifikata takoj prenehal s kakršnim koli navajanjem certifikata v promocijskih materialih, izvedel druge akcije, zahtevane v certifikacijski shemi (npr. vračilo originala certifikata) / *in the event of temporary or permanent withdrawal of a certificate, to immediately cease referring to the certificate in promotional materials and to take any other action required by the certification scheme (e.g. return of the original certificate)*;
- bo v primeru uporabe znakov skladnosti upošteval zahteve glede njihove uporabe / *to comply with the requirements for use of conformity marks in case of their use*;
- bo skladno se s podpisom vloge zbiral pritožbe kupcev in uporabnikov certificiranih storitev, nanje primerno ukrepal ter o ukrepih vodil ustrezne zapise. Ponudnik bo na zahtevo zapise o pritožbah kupcev ter zapise o ukrepih na pritožbe posredoval SIQ / *in accordance with the signed application, to collect complaints of customers and users of certified services and act accordingly, and keep records of actions taken; upon request, to forward the records of customer complaints and follow-up actions to SIQ*;
- bo pravočasno obvestil SIQ o vseh relevantnih spremembah, ki vplivajo na certificirano storitev in njeno izvajanje (npr. pravni/komercialni/organizacijski status, sprememba lastništva, spremembe ključnega vodstvenega/odločitvenega/tehničnega osebja, spremembe storitve in izvajanja storitve, večje spremembe v sistemu vodenja kakovosti) / *to inform SIQ in a timely manner of any relevant changes affecting the certified service and its provision (e.g., legal/commercial/organizational status, change of ownership, change in the key management/decision-making/technical personnel, changes to the service and service provision, major changes to the quality management system)*;
- pri certifikaciji po eIDAS mora naročnik, kadar pride do večjih sprememb na tehnološkem ali organizacijskem področju, incidentov ali povečanih tveganj za storitve, mora naročnik skladno z navodili v tem dokumentu in podpisom v vlogi AN303, sporočiti certifikacijskemu organu vse okoliščine dogodkov. Na podlagi vpliva dogodkov se določi ali je potrebno iti v dodatno presojo. Za poročanje je zadolžen naročnik / *in case of eIDAS certification, in the event of major organizational or technological changes, incidents or increased risks for services, to report to the certification body on all circumstances surrounding the event in accordance with the instructions in this document and signed application PN003. A decision on a post-audit is taken based on the size of the impact of the event concerned. Reporting is the responsibility of the applicant.*

3.4 Zaupno ravnanje s podatki / *Data confidentiality*

SIQ se zavezuje, da vse informacije in podatke o naročniku vloge za certifikacijo oziroma imetniku certifikata obravnava kot zaupne in jih uporablja izključno pri izvajanju postopkov. / *SIQ undertakes to observe professional secrecy with regard to any information and data on the applicant for certification or certificate holder and to use them exclusively for the implementation of the procedures.*

Informacije o certifikacijskem postopku in z njim povezanih aktivnostih so poslovna tajnost naročnika ali imetnika certifikata in instituta SIQ, z izjemo podelitve ali razveljavitve certifikata ter poročila Upravnemu odboru certificiranja v primerih kakršnihkoli dvomov v zvezi s certifikacijo ter možnosti vpogleda v dokumentacijo s strani akreditacijskih/priglasitvenih organov in organom nadzora. Če zakon od SIQ zahteva, da razkrije zaupne informacije, ali kadar je za to pooblaščen s pogodbo, SIQ vložnika/naročnika obvesti o posredovani informaciji, razen če je to z zakonom prepovedano. / *Information on the certification procedure and related activities is the business secret of the applicant or certificate holder and SIQ, with the exception of the information on the award or cancellation of a certificate, a report to the Board of Certification Body in case of a doubt in certification, and the allowed access to documentation by accreditation/notifying bodies and supervisory bodies. If SIQ is required to disclose confidential information by law, or when SIQ is authorised to do so by a contract, SIQ shall inform the applicant of any information disclosed by it, unless that action is prohibited by law.*

SIQ se z naročnikom oziroma z imetnikom certifikata sporazume, da ima SIQ izključne pravice v zvezi z vsemi dokumenti, ki jih izroči naročniku/imetniku. / *The applicant or certificate holder and SIQ shall agree that SIQ has exclusive rights in respect of all documents submitted to the applicant/holder by SIQ.*

4 Splošno o certifikacijskem postopku / *General about the certification procedure*

4.1 Osnovni pogoji za izdajo certifikata o ustreznosti / *Basic preconditions for the issue of a certificate of conformity*

- Naročnik vloge za certifikacijo je lahko le podjetje/institucija, ki je uradno registrirano(a) v skladu z veljavnimi predpisi. / *The applicant for certification can only be a company/institution that is officially registered in accordance with applicable regulations.*
- Storitve ali komponenta, za katero naročnik želi pridobiti certifikat o ustreznosti, mora biti jasno in nedvoumno identificiran(a). / *The service or component for which the applicant would like to obtain a certificate of conformity shall be clearly and unambiguously identified.*
- Dosežen mora biti dogovor z naročnikom glede standardov, predpisov ali specifikacij, ki so podlaga za pregled in ocenitev ustreznosti. / *SIQ and the applicant shall come to an agreement with regard to standards, regulations or specifications which will serve as a basis for the examination and assessment of conformity.*
- Nosilec certifikata je dolžan izvajalcu certifikacijskega postopka omogočiti nemoteno izvajanje certifikacijskega postopka. / *The certificate holder shall facilitate undisturbed implementation of the certification procedure.*
- Naročnik mora potrditi (npr. s podpisom vloge), da je seznanjen in se strinja z določili v dokumentu CP207 ali drugih dokumentih, ki opisujejo certifikacijske postopke po različni direktivi/regulativi. / *The applicant shall acknowledge (e.g. by signing the application) that they are familiar and agree with the terms stated in CP207 document or other documents describing certification procedures according to different directives/regulations.*

4.2 Aktivnosti v certifikacijskem postopku / *Certification procedure activities*

- a) Informativni razgovor z naročnikom zahtevka / *Informative interview with the applicant*
- b) Opredelitev zahtev naročnika in/ali priprava ponudbe / *Definition of the applicant's requirements and/or preparation of an offer*
- c) Naročilo storitve – po navodilih in/ali na obrazcih SIQ oz. s pogodbo / *Service order – according to instructions and/or on SIQ forms or with a service contract*
- d) Potrditev naročila / *Order confirmation*
- e) Pregled in presoja ustreznosti dokumentacije / *Review and audit of the adequacy of documentation*
- f) Planiranje presoje pri naročniku / *Planning of the audit on location of the applicant*
- g) Izvedba presoje (1. del, 2. del) / *Audit implementation (stage 1, stage 2)*
- h) Poročilo o izvedeni presoji / *Audit report*
- i) Pregled poročila o presoji / *Audit report review*
- j) Predlog za izdajo certifikata / *Proposal for the issue of a certificate*
- k) Odločitev o izdaji certifikata / *Decision on the issue of a certificate*
- l) Komunikacija z naročnikom o rezultatih ter morebitnih korektivnih aktivnostih / *Communication with the applicant on the outcome and potential corrective actions*
- m) Poravnava finančnih obveznosti / *Settlement of financial liabilities*
- n) Planiranje in izvajanje presoj pri nosilcu certifikata / *Planning and implementation of audits on location of the certificate holder.*

4.3 Informativni razgovor / *Informative interview*

Predstavnika naročnika seznanimo s certifikacijskimi postopki in predvidenimi stroški. Natančno se tudi dogovorimo o zahtevah naročnika in mu lahko pripravimo ponudbo. / *The representative of the applicant is made familiar with the certification procedure and anticipated costs. An agreement shall be reached about the applicant's requirements to be able to prepare an offer.*

Poleg obrazcev za vlogo (AN303) in navodil za njihovo izpolnjevanje lahko predstavnik ob informativnem razgovoru dobi tudi druge dokumente in publikacije s podrobnejšimi informacijami o postopkih. / *In addition to application forms (PN003) and instructions for their completion, the representative of the applicant may also be given other documents and publications describing the procedure in detail.*

4.4 Vloga / *Application*

Naročnik naroči certifikacijo z vlogo, ki jo lahko poda na predvidenem obrazcu (AN303) ali s potrditvijo posredovane ponudbe. / *The applicant applies for certification by submitting an application form (PN003) or by the approval of the received offer.*

Vloga/ponudba se nanaša na določeno storitev, na določeno skupino storitev ali posamezno komponento, in opredeljuje standarde, pravilnike ali specifikacije, ter regulativo. Vsebuje tudi klavzule o medsebojnih obveznostih med naročnikom in izvajalcem, predvsem glede zaupnosti podatkov (izvajalec – SIQ). / *The application/offer shall refer to a specific service or a specific group of services and shall define relevant standards, rules or specifications, and regulation. It shall include clauses on mutual obligations between the applicant and the provider, in particular with regard to data confidentiality (the provider – SIQ).*

SIQ po pregledu dokumentacije po potrebi zahteva dopolnitev vloge. Lahko izda tudi pisno potrdilo, da je zahtevke popoln. / *After reviewing the documentation, SIQ requests that the application be completed, if necessary. It may also issue a written certificate that the application is complete.*

Naročnika tudi obvestimo, kolikšni bodo stroški certifikacijskega postopka. Stroške ocenimo na podlagi pregleda vloge in priložene dokumentacije ter predvidenega postopka ter v skladu z veljavnim cenikom. Vlogo (naročilo) pisno potrdi SIQ. The applicant is informed of the costs of the certification procedure. / *The applicant is informed of the costs of the certification procedure. The costs are estimated on the basis of the review of the application, the enclosed documentation, the foreseen procedure, and the valid schedule of fees. The application is confirmed in writing by SIQ.*

Ponudnik certificiranih storitev se s podpisom vloge (AN303) strinja, da bo zbiral pritožbe kupcev in uporabnikov certificiranih storitev, nanje primerno ukrepal ter o ukrepih vodil ustrezne zapise. Ponudnik bo na zahtevo zapise o pritožbah kupcev ter zapise o ukrepih na pritožbe posredoval SIQ. / *By signing the application (PN003), the provider of certified services agrees to collect complaints of customers and users of certified services, act accordingly, and keep records of actions taken. Upon request, the provider of certified services shall forward the records of customer complaints and follow-up actions to SIQ.*

4.5 Priprava in izvedba presoje / Audit preparation and implementation

4.5.1 Planiranje presoje / Audit planning

Z naročnikom se dogovorimo za termin izvedbe prve presoje. Presoja se izvaja na sedežu naročnika oziroma delno na daljavo preko videokonferenčnih povezav. Dolžina presoje je odvisna od števila storitev ali komponent, ki bi jih naročnik rad certificiral. O presojevalcih, izvedbi in trajanju presoje obvestimo naročnika po elektronski pošti. Da se ne motijo procesi naročnika, se z naročnikom dogovorimo, kdo od naročnika mora biti na presoji prisoten in o načinu revizije IT, ki se bo izvajala. Kadar je področje ocenjevanja storitev komponenta, revizijska skupina oceni le zahteve, opredeljene za posamezne storitve, ki jih zagotavljajo komponente. / *The date of the first audit is agreed upon between SIQ and the applicant. The audit takes place at the applicant's headquarters or partly remotely via a videoconference. The duration of the audit depends on the number of services or components the applicant would like to have certified. The applicant is informed of the auditors, audit implementation and duration by e-mail. In order not to disrupt the processes of the applicant, SIQ and the applicant come to an agreement on the representative of the applicant who shall be present at the audit and on the type of IT audit to be carried out. When a component is audited, the audit team shall only assess the requirements defined for the individual services provided by the components.*

Kadar je na presoji potrebna prisotnost opazovalcev (npr. ocenjevanje presojevalcev, akreditacijska presoja ...), SIQ o tem predhodno obvesti naročnika /imetnika certifikata, ki mora omogočiti njihovo prisotnost. / *Where the audit requires the presence of observers (e.g., assessing auditors, accreditation audits, etc.), SIQ shall inform the applicant /certificate holder in advance, who must allow their presence.*

Po izdanem certifikatu se izvaja redne presoje na 24 mesecev. / *Surveillance audits are carried out every 24 months after the issue of a certificate.*

Presoja je sestavljena iz dveh delov. V prvem delu presoje se pregleda ustreznost dokumentacije, drugi del pa je namenjen vzorčenju postopkov, ki morajo biti skladni z dokumentacijo naročnika. / *The audit is carried out in two stages. The stage 1 audit comprises a review of the adequacy of documentation, while the stage 2 audit comprises the sampling of procedures that shall comply with the applicant's documentation.*

4.5.2 Presoje pred podelitvijo certifikata / *Audits prior to certification*

4.5.2.1 1. del presoje / *Audit stage 1*

Prvi del presoje se izvaja v prostorih naročnika oziroma na daljavo preko videokonferenčnih povezav, po v naprej določenem urniku. Na presoji mora sodelovati poleg presojevalca vsaj en predstavnik naročnika. / *The stage 1 audit is carried out at the premises of the applicant or remotely via a videoconference according to the predefined schedule. In addition to the auditor, at least one representative of the applicant shall be present at the audit.*

Na uvodnem sestanku se predstavijo udeleženci, proces presoje in cilji. / *The participants, the audit process and goals are presented during the opening meeting.*

Pri presoji presojevalec izvede razgovore z relevantnim osebjem, pregleda postopke in prakse ter dokumentacijo. Če kaj ne more biti pregledano ali potrjeno med obiskom, je naročnik dolžan dostaviti presojevalcu dokazila v največ petih delovnih dneh. V čas presoje se šteje tudi čas, ki ga presojevalec rabi za pripravo zapisov. / *During the audit, the auditor holds interviews with relevant members of the staff, reviews procedures, practices and documentation. If something cannot be reviewed or confirmed during the visit, the applicant shall deliver the required pieces of evidence to the auditor within five working days at the latest. The audit time includes the time needed by the auditor to draw up records.*

Na zaključnem sestanku presojevalec predstavi rezultate presoje, pri tem se upošteva, da je dovolj časa namenjenega za razpravo o ugotovitvah, korektivnih ukrepih, priporočilih in vprašanih naročnika. Na sestanku morajo biti dogovorjeni in potrjeni nadaljnji koraki. / *During the closing meeting, the auditor presents audit outcomes and ensures that there is enough time for the debate on the findings, corrective actions, recommendations, and the applicant's questions. Further actions shall be agreed-upon and approved during the meeting.*

Da ne bi prihajalo do nerazumevanj, se za vse storitve najprej izvede razgovore in nato povedano potrdi v praksi, kar se izvede na drugem delu presoje. Metoda potrditve je, da presojevalec opazuje predstavnika naročnika, kako upravlja sistem, testira delovanje sistema, pregleda nastavitve informacijskega sistema ali pokaže dokazila na drug način. / *To avoid misunderstandings, all services are first discussed, and only then is the subject of discussions approved in practice, which is done during the stage 2 audit. The approval method applied is the following: the auditor observes the representative of the applicant as they manage the system, test the functioning of the system, examine the information system's configurations, or they provide evidence in some other way.*

Presoja traja glede na to, kakšen je obseg storitev, pri čimer se uporablja naslednja metodologija: Prvi del presoje traja 8 ur, ne glede na število storitev, zaposlenih naročnika, ki delajo na področju storitev zaupanja in lokacij, kjer se te storitve izvajajo. / *The duration of the audit depends on the scope of services, whereas the following method is applied: The stage 1 audit takes 8 hours regardless of the number of services, number of the employees of the applicant engaged in the field of trust services, and the number of locations where those services are performed.*

4.5.2.2 2. del presoje / *Audit stage 2*

Presoja se izvaja na sedežu naročnika oziroma delno preko videokonferenčnih povezav. O presojevalcih, izvedbi in trajanju presoje obvestimo naročnika po elektronski pošti. Da se ne motijo procesi naročnika, se z naročnikom dogovorimo, kdo od naročnika mora biti na presoji prisoten in o preskusih, ki se bodo izvajali oz katere storitve/procese se bo presojalo. / *The audit is carried out at the premises of the applicant or remotely via a videoconference. The applicant is informed of the selected auditors, audit implementation and duration by e-mail. In order not to disrupt the processes of the applicant, SIQ and the applicant come to an agreement on the*

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representative of the applicant who shall be present at the audit, on the tests to be performed and/or on the processes/services to be audited.

Namen 2. dela presoje pri naročniku je, da preverimo ureditve naročnika s primerjavo situacije z zahtevami, podanimi v predpisih/shemah. Prva presoja se vedno izvaja v prostorih naročnika, po v naprej določenem urniku. Na presoji mora sodelovati poleg presojevalca vsaj en predstavnik naročnika. / *The aim of the stage 2 audit at the applicant's premises is to check the applicant's arrangements by way of comparison of the situation with the requirements in the rules/schemes. The first audit is always performed in the facility of the applicant according to the predefined schedule. In addition to the auditor, at least one representative of the applicant shall be present at the audit.*

Na začetnem sestanku se predstavijo udeleženci, proces presoje in cilji. / *The participants, the audit process and goals are presented during the opening meeting.*

Pri presoji presojevalec izvede razgovore z relevantnim osebjem, pregleda postopke in prakse ter izvede morebitne preskuse. Da ne bi prihajalo do nerazumevanj, se za vsa področja presoje najprej izvede razgovore in nato povedano potrdi v praksi. Priporočena metoda potrditve je, da presojevalec opazuje predstavnika naročnika, kako upravlja sistem/proces ali pokaže dokazila na drug način. Presojevalec lahko tudi preskusi sisteme in procese. / *During the audit, the auditor holds interviews with relevant members of the staff, reviews procedures and practices and performs potential tests. To avoid misunderstandings, all services are first discussed and only then is the subject of discussions approved in practice. The recommended approval method is the following: the auditor observes the representative of the applicant as they manage the system/process, or they provide evidence in some other way.*

Na zaključnem sestanku presojevalec predstavi rezultate presoje, pri tem se upošteva, da je dovolj časa namenjenega za razpravo o ugotovitvah, korektivnih ukrepih, priporočilih in vprašanih naročnika. Na sestanku se dogovorimo in potrdimo nadaljnje korake. / *During the closing meeting, the auditor presents audit outcomes and ensures that there is enough time for the debate on the findings, corrective actions, recommendations, and the applicant's questions. Further actions shall be agreed-upon and approved during the meeting.*

Drug del presoje traja 6 ur za vsako storitev, pri čimer so za vsako nadaljnjo storitev potrebne 3 ure, 4 ure za vsako lokacijo, kjer se nahaja centralni informacijski sistem za izvajanje storitev zaupanja ter 2 uri za vzorčenje sprejemnih mest za oddajo vlog za storitve zaupanja. / *The stage 2 audit requires 6 hours for each service, whereas 3 hours are required for each additional service, 4 hours for each location of the central information system for the performance of trust services, and 2 hours for sampling reception points for submitted applications for trust services.*

Za zapise o presoji se uporabljajo kontrolni sezname, ki predstavljajo prilogo k poročilu o presoji. / *Checklists, enclosed to audit reports, are used to prepare audit records.*

4.5.2.3 Poročilo / Report

Vsebovati mora naslednje informacije / *It shall contain the following information:*

- obseg revizije, vključno s povzetkom in standardi, specifikacijami in regulativo, na podlagi katerih se izvaja revizija / *the audit scope, including a summary and the standards, specifications and regulation against which the audit is being conducted;*
- poročilo analize tveganj informacijske varnosti / *information security risk analysis report;*
- plan revizije / *audit plan;*
- revizijske poizvedbe, ki so bile upoštevane, utemeljitev njihove izbire in uporabljena metodologija / *the audit inquiries considered, the rationale for their selection and the methodology used;*

- področja, ki jih zajema revizija, vključno z zahtevami za storitve oz. komponente / *the areas covered by the audit, including the requirements for services or components*;
- pozitivne in negativne ugotovitve / *positive and negative findings*;
- podrobnosti o vseh ugotovljenih neskladnostih, podprte z objektivnimi dokazi / *details of any non-conformities identified, supported by objective evidence*.

4.5.2.4 Pregled poročila / *Report review*

Vodilni presojevalec pripravi osnutek poročila o presoji in ga pošlje vodji produkta oz. njegovemu namestniku v formatu, ki ga je možno spreminjati. Vodilni presojevalec pošlje poročilo na način, da so izpolnjene zahteve za varovanje zaupnih informacij v roku 7 dni od presoje. Celotno dokumentacijo (poročilo, plan, kontrolni seznam, itd.) pregleda pregledovalec, ki potrdi predlog za izdajo potrdila o ustreznosti z izpolnitvijo in podpisom obrazca AN311. / *The lead auditor drafts the audit report and sends it in an editable format to the product manager or its deputy. In sending the report, the lead auditor shall observe the requirements for protecting classified information. The report shall be sent within 7 days from the audit. The complete documentation (report, plan, checklist, etc.) shall be reviewed by a reviewer who shall approve the proposal for the issue of a certificate of conformity by completing and signing the AN311 form.*

SIQ na osnovi pozitivnega mnenja pregledovalca na obrazcu AN311 izda poročilo naročniku. Če se naročnik s čim v poročilu ne strinja, mora na SIQ posredovati komentarje in dokazila. Le-to vodilni presojevalec dopolni v poročilu morebitna nestrinjanja ali popravi morebitno nerazumevanje. Na osnovi teh popravkov, mora pregledovalec ponovno opraviti pregled poročila in novih dokazil ter o tem zapisati predlog za izdajo potrdila. SIQ posreduje naročniku končno poročilo o presoji v pdf formatu v določenem roku. / *SIQ issues a report to the applicant based on the positive opinion of the reviewer given on the AN311 form. If the applicant cannot entirely agree with the report, they shall forward their comments and pieces of evidence to SIQ. The lead auditor records potential disagreements in the report or corrects potential misunderstandings. On the basis of these corrections, the reviewer shall re-examine the report and the new evidence and write a proposal for a certificate. SIQ shall send the final audit report in pdf format to the applicant within specified time.*

Nadaljnji certifikacijski postopek se izvaja na podlagi končnega poročila o presoji. / *The further certification procedure is carried out on the basis of the final audit report.*

4.5.3 Odprava neskladnosti / *Elimination of non-conformity*

Presojanec je odgovoren za odpravo neskladnosti, vključno s planiranjem, zagotovitvijo virov, izvedbo in morebitnimi stroški. V primeru ugotovljene neskladnosti, zapisane v poročilu, presojanec pripravi plan izvedbe korektivnih ukrepov in ga dostavi presojevalcu v treh mesecih od dneva zaključene presoje. / *The auditee is responsible for eliminating non-conformity, including planning, provision of resources, implementation and potential expenses. In the case of non-conformity recorded in the audit report, the auditee draws up a corrective actions implementation plan and delivers it to the auditor within three months from the last day of audit, whereby SIQ conducts a post-audit to verify that the non-conformity has been eliminated.*

V primeru ugotovljene neskladnosti se certifikat presojancu ne izda, vse dokler neskladnost ni odpravljena. Slednje je potrjeno z izvedbo dodatne presoje pri presojancu, o čemer nastane poročilo. Glej poglavje 4.5.4 razdelek Dodatna presoja. / *In the case of a non-conformity, the certificate shall not be issued to the auditee, until the non-conformity has been corrected. The latter is confirmed by the auditor carrying out a further audit, resulting in a report. See section 4.5.4 Post audit.*

4.5.4 Dodatne presoje in redne presoje celotnega obsega / *Post-audits and surveillance audits of the entire scope*

Dodatna presoja / *Post-audit*

Če je med presojo na lokaciji ugotovljena neskladnost, je potrebna dodatna presoja. Pri dodatni presoji se uporabijo enaki kriteriji ocenjevanja kot pri certifikacijski (večja ali manjša neskladnost), vendar se dodatna presoja lahko izvede tudi s pregledom dokumentacije. Ali se bo dodatno presojo izvedlo na lokaciji naročnika ali ob pregledu dokumentacije je odvisno od dostopnosti dokazil in možnosti pregleda korektivnih ukrepov ter njihove implementacije, da bi se lahko ustrezno ažuriral status korektivnih ukrepov v preglednici/planu izvedbe korektivnih ukrepov. Če so bile potrebne velike spremembe okolja, se izvede presoja celotnega obsega. / *A post-audit is required if it is non-conformity detected on-site during the audit. The same assessment criteria apply to the post-audit as to the certification audit (major or minor non-conformity). However, the post-audit may also be carried out by a review of documentation. If the post-audit is carried out on-site or by a review of documentation depends on the accessibility of evidence and the possibility to review corrective actions and their implementation in order to be able to update the status of corrective actions in the corrective actions implementation plan/table. If major changes to the environment were required, an audit of the entire scope shall be performed.*

Dodatna presoja se izvede tudi, če pride do večjih tehnoloških, organizacijskih ali zakonodajnih sprememb, ki bi bistveno vplivale na same storitve zaupanja ali pa z obstoječimi postopki ne bi mogli več zagotavljati storitev zaupanja. / *The post-audit is carried out also in the case of major technological, organizational or regulatory changes that would essentially affect the trust services or the trust services could no longer be provided on the basis of the existing procedures.*

Redna presoja / *Surveillance audit*

Redna presoja se lahko izvede enkrat letno, vmes med obnovitvenimi presojami na zahtevo stranke ali na zahtevo SIQ Ljubljana. Na zahtevo SIQ se izvede redna presoja v primeru bistvenih sprememb, ki vplivajo na izvajanje storitev zaupanja vrednega ponudnika (npr. bistvena sprememba ETSI standardov ali regulative). Redna presoja ne vključuje celovite presoje sistema. / *A surveillance audit may be carried out once a year, in between recertification audits at the request of the client or at the request of SIQ Ljubljana. At the request of SIQ, a surveillance audit shall be carried out in the case of significant changes affecting the provision of trusted provider services (e.g. a significant change in ETSI standards or regulation). The surveillance audit does not include a full system audit.*

Obnovitvena presoja / *Recertification audit*

Obnovitvena presoja celotnega obsega se izvede na 23 mesecev od dneva izdaje potrdila o ustreznosti; vsaj 1 mesec pred iztekom potrdila o ustreznosti. Obseg presoje je potrditev vseh kontrol in njihovih pripadajočih dokazil. Obnovitvena presoja se izvede na enak način kot se izvede certifikacijska presoja. / *A recertification audit shall be carried out every 23 months from the date of issue of the certificate of conformity; at least 1 month before the expiry of the certificate of conformity. The scope of the audit shall covers the approval of all controls and their associated supporting evidence. The recertification audit shall be carried out in the same way as the certification audit.*

4.6 Pregled poročila o presoji/Ocenenitev ustreznosti / *Audit report review/Conformity assessment*

Pregled poročila o presoji ter podatkov in izjav v poročilu o presoji in/ali drugi tehnični dokumentaciji izvede certifikacijsko osebje ter v primeru ustreznosti KCP poda predlog za izdajo certifikata na obrazcu. / *Certification personnel reviews the audit report and the data and*

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statements included in the audit report and/or other technical documentation and, in the case of conformity, submits to the KCP a form with a proposal for issuing a certificate.

4.7 Izdaja certifikata / Issue of a certificate

Odločitev o izdaji certifikata sprejme KCP ter izda certifikat. / *The Management Systems KCP adopts a decision on the issue of a certificate and issues a certificate.*

Če so bile v certifikacijskem postopku ugotovljene neskladnosti, mora organizacija izvesti potrebne korektivne ukrepe za odpravo ugotovljenih neskladnosti in SIQ izvede dodatno presojo pri naročniku. O tem SIQ izda poročilo, v katerem se jasno opredeli, da so bili korektivni ukrepi izvedeni ter da so neskladnosti odpravljene. Na osnovi tega lahko KCP potrdi izdajo certifikata. / *If non-conformities have been identified during the certification procedure, the organisation shall take the necessary corrective actions to eliminate the identified non-conformities and SIQ shall conduct a post audit. The SIQ shall issue a report to this effect, clearly stating that the corrective actions have been implemented and that the non-conformities have been eliminated. On this basis, the KCP may approve the issue of a certificate.*

Če je naročnik že imetnik certifikata, potem je treba nov certifikat izdati pred potekom veljavnosti prejšnjega certifikata in pri tem upoštevati čas, ki ga naročnik rabi za odpravo morebitnih neskladnosti. / *If the applicant is already a certificate holder, a new certificate shall be issued before the expiry date of the previous certificate taking into account the time the applicant needs to eliminate potential non-conformity.*

Kadar se izdaja certifikat za novo storitev zaupanja, ga morajo pregledati vsi trije člani KCP. Certifikacijsko osebje je ob podajanju predloga za tak certifikat dolžno KCP na to dodatno opozoriti. / *When a certificate is issued for a new trust service, it shall be reviewed by all three members of the CCP. The certification staff shall be obliged to further remind the CCP of this when proposing such a certificate.*

4.8 Spremljanje sprememb standardov in predpisov / Monitoring changes to standards and regulations

Kadar pride do sprememb standardov in/ali zahtev za certifikacijske postopke, ali kadar storitve (oziroma standardi) ne ustrezajo več predpisom, KCP določi rok, v katerem mora nosilec certifikata uskladiti svojo storitev z zahtevami novega standarda ali z novimi predpisi. / *When standards or certification procedure requirements change or when services (or standards) no longer correspond to regulations, the KCP shall specify the period within which the certificate holder shall bring the service concerned in line with the requirements of a new standard or with new regulations.*

5 Certifikacijski znak zaupanja EU / EU trust certification mark

Po podelitvi certifikata lahko imetnik uporablja znak zaupanja EU. Pri tem mora upoštevati pravila v dokumentu CR303, ki je objavljen na internetni strani SIQ. / *After the award of a certificate, the certificate holder is allowed to use the EU trust mark. In so doing, the certificate holder shall adhere to the rules laid down in the CR303 document which is published on the SIQ webpages.*

Znak zaupanja EU se lahko uporablja v barvni ali črno-beli različici. / *The EU trust mark may be used in colour or in black and white.*

Referenčne barve za znak zaupanja EU za kvalificirane storitve zaupanja so / *The reference colours of the EU trust mark for qualified trust services are the following:*

– pri štiribarvnem tisku / *in four-colour printing:*

- Pantone št. 654 in 116; ali modra (100 % cianova + 78 % škrlatna + 25 % rumena + 9 % črna) / *Pantone no. 654 and no. 116; or blue (100% cyan + 78% magenta + 25% yellow + 9% black*

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- in rumena (19 % škrlatna + 95 % rumena) / *and yellow (19% magenta + 95% yellow)*,
- pri uporabi barv RGB / *in RGB printing*:
 - modra (43 rdeča + 67 zelena + 117 modra) / *blue (43 red + 67 green + 117 blue)* and
 - rumena (243 rdeča + 202 zelena + 18 modra) / *yellow (243 red + 202 green + 18 blue)*.

Znak zaupanja EU za kvalificirane storitve zaupanja se v črno-beli različici lahko uporablja le v primerih, ko uporaba barv ni praktično izvedljiva. / *The EU trust mark for qualified trust services in black and white may be used only in cases when the use of colours is not possible in practice.*

Če se znak zaupanja EU za kvalificirane storitve zaupanja uporablja na temnem ozadju, se lahko znak uporabi v negativu z uporabo iste barve ozadja. / *If the EU trust mark for qualified trust services is used on a dark background, the mark may be used in a negative format, using the colour of the background.*

Če se znak zaupanja EU za kvalificirane storitve zaupanja uporablja v barvah na barvnem ozadju, zaradi česar je težko viden, se lahko uporabi razmejevalni rob okrog znaka zaupanja EU za kvalificirane storitve zaupanja, da se izboljša kontrast z barvnim ozadjem. / *If the EU trust mark for qualified trust services in colour is used on a colour background which makes it difficult to see, a delimiting outer circle around the EU trust mark for qualified trust services may be used to improve contrast with the background colours.*

Znak zaupanja EU za kvalificirane storitve zaupanja v barvah / *EU trust mark for qualified trust services in colour*:



Znak zaupanja EU za kvalificirane storitve zaupanja v črno-beli tehniki / *EU trust mark for qualified trust services in black and white*:

**6 Objave v zvezi s certifikati / *Publications in relation to certificates***

Pri objavah (oglasih) v zvezi s certifikati o ustreznosti je treba poskrbeti, da ne pride do nejasnosti ali celo zavajanja. Še posebej pomembno je, da je jasno razvidno, katere storitve so certificirane. / *There shall be no want of vagueness or even misleading information in publications (advertisements) in relation to certificates of conformity. It is of extreme importance that it is clear and obvious which services are certified.*

Certifikacija storitve / Service certification

Imetnik certifikata ne sme uporabljati certifikata na zavajajoč način ali na način, da bi SIQ prišel na slab glas. / *The certificate holder shall not use the certificate in a misleading manner or in a way which would disrepute SIQ.*

Če želi imetnik certifikata objaviti le del poročila o presoji, mora imeti za to pisni pristanek instituta SIQ. / *If a certificate holder wants to publish only a part of an audit report, they shall obtain a written consent of SIQ for that purpose.*

V informacijah za svoje odjemalce imetnik certifikata ne sme navajati funkcij, pravic ali podobno na način, ki bi lahko zavajal kupce, na primer tako, da bi verjeli, da so karakteristike storitve ali njene uporabe obseženi z certifikatom, če v resnici ni tako. / *In information materials for customers, the certificate holder shall not publish functions, rights or similar data in a manner misleading to customers, e.g., to let them erroneously believe that the characteristics of the service or its use are covered by a certificate.*

Zainteresirani dobi podatek o izdanem certifikatu po predloženi prošnji v oddelek. Če imetnik certifikata ne želi, da bi bili podatki o njegovem certifikatu javno dostopni, mora o tem pisno obvestiti SIQ. / *The interested party shall obtain information about the issued certificate upon request submitted to the department. If the certificate holder does not want the data on their certificate to be publicly available, the certificate holder shall inform SIQ of that in writing.*

SIQ objavlja podatke o izdanih certifikatih na spletni strani. / *The data on the issued certificates are published on the SIQ website.*

7 Preklic/razveljavitev certifikata / Withdrawal/cancelation of certificates

7.1 Splošno / General

Z razveljavitvijo certifikata lahko preprečimo izgubo zaupanja v SIQ certifikate in v imetnike SIQ certifikatov. KCP v okviru svojega dela nadzoruje uporabo certifikatov. Če ugotovi, da je prišlo do razlogov za razveljavitev certifikata, lahko certifikat razveljavi oziroma prekliče. / *By cancelling a certificate, we may prevent loss of trust in SIQ certificates and in holders of SIQ certificates. In the context of its work, the KCP supervises the use of certificates and may cancel or withdraw a certificate if it finds that there are grounds for its cancellation.*

Razveljavljen certifikat se umakne iz seznama veljavnih certifikatov, o tem pa se obvesti nosilca certifikata in nadzorni organ. / *A cancelled certificate is removed from the list of valid certificates. The certificate holder and supervisory authority are informed of that act.*

Certifikat se lahko prekliče oziroma razveljavi, če se pri presoji/nadzoru uporabe certifikatov ugotovi, da je prišlo do zlorabe ali kakšne druge kršitve predpisov in določil za certifikacijo. / *A certificate may be withdrawn or cancelled if the audit or supervision of the use of certificates reveals misuse or any other violation of certification rules or provisions.*

V takih primerih imetnika certifikata obvestimo, da bo SIQ po določenem času, praviloma v 30 do 60 dneh, preklical certifikat. V tem času lahko imetnik certifikata odpravi ugotovljene nepravilnosti in na SIQ dostavi dokaze o tem, ali pa vloži priziv/pritožbo. / *In such cases, a certificate holder is informed that SIQ will withdraw a certificate after a specified period of time, usually within 30–60 days. During that time, the certificate holder may eliminate detected nonconformity and submit corresponding evidence to SIQ, or file an appeal/complaint.*

Nosilec certifikata ima pravico do priziva na odločitve KCP pri komisiji za prizive pri Upravnem odboru certificiranja, kot je opisano v CR105, ki je objavljen na spletni strani SIQ. / *A certificate holder shall have the right to appeal against the decisions of the KCP to the Appeals Commission of the Board of Certification Body in accordance with the provisions of CR105 published on the SIQ website.*

KCP preklic certifikata lahko javno objavi z navedbo razlogov za preklic. / *The KCP may publicly publish the withdrawal of the certificate, including the reasons for the withdrawal.*

7.2 Razlogi za razveljavitev / *Reasons for cancellation*

Certifikat o ustreznosti se lahko razveljavi, če se izkaže, da storitev v resnici ni bila skladna s predpisanimi tehničnimi zahtevami / *A certificate of conformity may be cancelled if it appears that the service was in fact not in compliance with the regulatory technical requirements:*

- zaradi naknadno ugotovljenih dejstev, ki bi lahko ogrožala veljavnost certifikata, ki se pokažejo ob uporabi storitve ali skozi nadaljnje preiskave / *due to subsequently identified facts that are revealed when using the service or during further investigations which could affect the validity of the certificate,*
- zaradi zlorabe certifikata / *due to misuse of the certificate.*

Certifikat lahko razveljavimo tudi / *A certificate may be cancelled also in the following cases:*

- če storitve ne ustrezajo več zakonskim predpisom, ali se spremeni standard/predpis, ki je bil podlaga pri certifikacijskem postopku in nosilec certifikata ne želi ali ne more zagotoviti ustreznosti novim zahtevam tega standarda/predpisa / *if the service no longer complies with the statutory provisions or the standard/regulation has changed which served as the basis for certification procedure and the certificate holder refuses to or cannot assure conformance to new requirements of that standard/regulation,*
- če se uporabi sklicevanje za storitve, ki niso bile predmet postopka ugotavljanja skladnosti / *if reference is made to services that were not the subject of the conformity assessment procedure,*
- če nosilec ne želi vzdrževati certifikata / *if the holder refuses to maintain the certificate,*
- če se storitev ne izvaja več / *if the service is no longer being provided,*
- če so bile posredovane nepopolne ali lažne informacije v zvezi s storitvijo / *if incomplete or false information about the service has been submitted,*
- zamolčanje bistvenih sprememb storitve ali v sistemu vodenja / *if essential changes to the service or the management system have been suppressed,*
- neizpolnjevanje zahtev, podanih v poročilu o presoji / *in case of failure to fulfil the requirements recorded in the audit report,*
- zaradi stečaja ali prenehanja poslovanja imetnika certifikata / *due to the bankruptcy or winding-up of the certificate holder,*
- če imetnik licence ne izvršuje dogovorjenih finančnih obveznosti / *if the certificate holder fails to settle the agreed financial liabilities.*

7.3 Postopek razveljavitve certifikata zaradi nadomestitve z novim / *Cancellation of a certificate to be replaced by a new one*

V kolikor bi šlo za ugotovljeno napako, ki bi ogrožala skladnost storitve, lahko certifikacijska KCP certifikat razveljavi še pred izdajo nadomestnega certifikata, sicer pa se certifikat razveljavi ob izdaji novega certifikata za isto storitev. / *In case of an identified error affecting the conformity of the service, the KCP may cancel the certificate before issuing a replacement certificate, otherwise the certificate shall be cancelled when a new certificate is issued for the same service.*

8 Zloraba certifikata / *Misuse of a certificate*

Certifikacija storitve / *Service certification*

SIQ nadzoruje uporabo certifikatov. Če ugotovi, da nosilec certifikata nepravilno uporablja certifikat, sproži korektivne, po potrebi tudi pravne ukrepe. Zloraba certifikata ima lahko za posledico tudi razveljavitev in preklic certifikata. / *SIQ supervises the use of certificates. If it finds out that a certificate holder uses the certificate improperly, it may initiate corrective and, if necessary, legal actions. A misuse of a certificate may result in cancellation or withdrawal of a certificate.*

Za zlorabo certifikata o ustreznosti šteje, če / *The following shall be deemed as a misuse of a certificate of conformity:*

- se kadarkoli izkaže, da je naročnik na kakršenkoli drug način v postopku certificiranja zavedel SIQ / *Whenever it is established that an applicant misled in whatever way SIQ during the certification procedure;*
- nosilec certifikata zavaja kupce z navajanjem certifikata o ustreznosti za širšo skupino storitev na podlagi podeljenega certifikata za eno ali nekaj storitev; ali če se sklicuje na certifikat pri necertificiranih storitvah / *A certificate holder has been misleading customers by referring to the certificate of conformity obtained for one or some services also in case of a wider group of services; or by referring to the certificate in case of uncertified services;*
- nosilec certifikata uporablja pri storitvi postopke, ki niso bili preverjeni na presoji / *A certificate holder performs a service by use of procedures that have not been audited;*
- nosilec certifikata navaja v zvezi s certifikatom kakršnekoli neresnične podatke / *A certificate holder provides false information in connection with the certificate.*

Certifikat, ki je podeljen za določeno storitev, KCP razveljavi, če pri nadzoru ugotovi, da je prišlo do zlorabe certifikata ali kakšne druge kršitve določb tega pravilnika in drugih dokumentov, ki podrobneje določajo certifikacijske postopke. / *The KCP may cancel a certificate granted for a specific service if it becomes clear during the surveillance that the certificate has been misused or any provision of the rules or any other document defining certification procedures in detail has been violated.*

KCP lahko / *The KCP may:*

- predlaga kršitelju primerne korektivne ukrepe / *propose to the infringer appropriate corrective actions;*
- razveljavi certifikat / *cancel the certificate;*
- zlorabo objavi v množičnih medijih / *publish the misuse in public media;*
- sproži pravni postopek, če je potrebno / *initiate legal proceedings, if necessary.*

KCP dostavi nosilcu certifikata, ki je zlorabil certifikat, pisno odločitev z obrazložitvijo. Izvajanje sprejetega sklepa nadzoruje predsednik KCP. / *A written decision, including reasons for it, is delivered to the certificate holder that misused the certificate by the KCP. The implementation of the decision is supervised by the Chairman of the KCP.*

Direktor področja certificiranja poskrbi za to, da se vsi zapisi v zvezi z reševanjem zadeve primerno shranijo / *The Certification Manager ensures that all records in connection with the handling of the matter in question are properly stored.*

KCP lahko sprejme sklep o takojšnji razveljavitvi certifikata ali naloži nosilcu certifikata rok, največ do 3 mesecev, v katerem bo razveljavila certifikat. V tem času nosilec certifikata odpravi ugotovljene neskladnosti ter to dokaže KCP ali pa vloži priziv/pritožbo, ki jo komisija za pritožbe sprejme ali zavrne. / *The KCP may adopt a decision on immediate cancellation of the certificate or, before doing that, may impose on the certificate holder a time limit of maximum 3 months to either eliminate detected nonconformity and provide relevant evidence to the KCP or file an appeal/complaint which is either accepted or refused by the Appeals Commission.*

Nosilec certifikata ima pravico do priziva na odločitve KCP pri komisiji za pritožbe pri Upravnem odboru certificiranja, kot je opisano v CR105, ki je objavljen na spletni strani SIQ. / *A certificate holder has the right to appeal against the decisions of the KCP to the Appeals Commission of the Board of Certification Body, as described in the CR105 document published on the website of SIQ.*

9 Reševanje pritožb in prizivov / Handling complaints and appeals

Naročnik/imetnik se lahko pritoži zaradi neustreznega dela SIQ ali vložiti priziv na odločitev KCP / *The applicant/certificate holder may complain about the inadequate work of SIQ or may appeal against the decision of the KCP.*

Morebitne pritožbe na delo certifikacijskega osebja ali na odločitve KCP sprejema direktor SIQ. / *Potential complaints about the work of the certification personnel or against the decisions of the KCP are filed with the Managing Director of SIQ.*

Pritožbe na delo SIQ na prvi stopnji obravnava direktor/ica področja Certificiranja. O prejemu pritožbe in odločitvi se pisno obvesti vlagatelja pritožbe. Na to odločitev je možna pritožba na Komisijo za prizive, ki je drugostopenjski organ in katere odločitev je dokončna. / *Complaints about the work of SIQ are dealt with in the first instance by the Certification Manager who informs the complainant of the receipt of the complaint and of the decision in writing. The complainant may file a complaint against that decision with the Appeals Commission. The Appeals Commission is the body of second instance. Its decisions are final.*

Pritožbe na sistem vodenja imetnika certifikata, ki jo v pisni obliki lahko poda kdor koli, se obravnavajo po enakem postopku kot pritožbe na delo SIQ. O poteku in zaključku pritožbe se obvešča pritožnika in imetnika certifikata. / *Complaints against the management system of a certificate holder may be filed in writing by anyone. Such complaints are dealt with according to the same procedure as complaints about the work of SIQ. The complainant and the certificate holder are informed of the progress and the end of the complaint procedure.*

Prizive na odločitve KCP mora naročnik v pisni obliki vložiti v 15 dneh po prejemu odločitve. Naročnik mora priziv ustrezno dokumentirati. Priziv obravnava komisija za prizive, katere odločitev je dokončna, v skladu s Pravilnikom o prizivih na odločitve KCP, priglašene in kontrolnega organa (CR105). / *Appeals against the decision of the KCP shall be filed in writing by the appellant within 15 days after the receipt of the decision in question. The appeal shall be appropriately documented by the appellant. The appeal is dealt with by the Appeals Commission in line with the Rules on Appeals against the Decisions of the KCP, Notified Body and Inspection Body Commissions (CR105). Its decisions are final.*

V primeru, da reševanje pritožbe/priziva traja dlje časa, vlagatelja obvestimo o poteku reševanja. V primeru utemeljene pritožbe ali priziva direktor/ica področja poskrbi, da se odpravijo razlogi za pritožbo/priziv. / *If a complaint/appeal handling procedure is long-lasting, the complainant/appellant is informed of its progress. If the complaint/appeals is justified, the department director concerned shall ensure that the reasons for the complaint/appeal are eliminated.*

Podrobneje je prizivni postopek opisan v dokumentu CR105 in objavljen na internetni strani SIQ. Druge spore rešuje stvarno pristojno sodišče v Ljubljani Enota v Ljubljani. Za vsa razmerja se uporablja veljavna zakonodaja Republike Slovenije. / *The appeal procedure is described in detail in the CR105 document and published on the SIQ website. Other disputes fall within the competence of the Court of proper jurisdiction over the subject matter in Ljubljana. The currently valid legislation of the Republic of Slovenia is used for ruling in all relations.*

10 Kontaktne osebe / *Contact persons*

| Osnova za certifikacijo / <i>Basis for certification</i> | Kontaktna oseba / <i>Contact person</i> | Telefon / <i>Phone</i> |
|--|--|-------------------------------|
| EIDAS | Sabina Bauman | +386 1 4778 222 |
| Certificiranje sistemov vodenja / <i>Management system certification</i> | Miloš Seražin | +386 1 4778 212 |
| Certificiranje / <i>Certification</i> | Matej Žontar | +386 1 4778 251 |