

## **PROCEDURE OF PRODUCT CERTIFICATION BODY accredited by CAI under No. 3040**

**(Extract from Certification and Testing Regulations of Certification Body)**

### **1. Application**

The application/order for product certification (hereinafter referred to as “application”) is submitted by the applicant, i.e. usually the manufacturer/importer (hereinafter referred to as “client”). Before submitting an application, the client may contact professional staff of the certification body (hereinafter referred to as “PCB”) and obtain information on certification and answers to possible questions. The application must contain basic information about the product, standards (normative documents) according to which the certification is to be performed, general identification data of the client and general information about the client, the product and its production process, which are essential for certification or the relevant certification scheme.

### **2. Application review and a registration**

The request is accepted and registered. The PCB specialist responsible for the certification process reviews the application. If necessary, the client is asked to supply additional information.

Upon submitting the application, the client declares that:

- They will comply with all the requirements for certification/assessment and will submit all the information necessary for the evaluation of the products under assessment/products to be certified,
- They have been acquainted with the product certification system, with their rights and obligations,
- They have not in specified cases submitted and until the completion of the work related to their order will not submit an application with another entity for product certification or an order to perform the same activity within the process of conformity assessment.

### **3. Conclusion of a certification contract**

A PCB specialist sets the basic plan of evaluation activities and a certification scheme and forwards the application to a PCB employee responsible for evaluation to specify evaluation activities and prepare a draft of a certification contract. The contract stipulates the scope of evaluation activities, including product specification, certification scheme, normative documents according to which the certification will be performed, specification of documents required by the PCB as necessary for successful performance and completion of certification, and all the usual requirements, including payment terms. The applicant's consent to any subcontracting is also obtained. The contract (including any amendments thereto) is signed exclusively by the employee authorized to sign the contract.

The client is entitled to withdraw from the contract if they decide not to continue with the certification. In this case, the PCB charges the client the costs associated with the certification process incurred up to that time. The PCB is entitled to withdraw from the contract and charges the client for any activities already performed, if, e.g., the client does not pay duly and in time the agreed payment and if the client does not provide within the deadline the required documents, data, information, samples or other cooperation activities specified in the contract as necessary for the certification process.

### **4. Product certification**

PCB employees performing certification are appointed by the head of the PCB. Their task is to implement certification, i.e. perform or ensure the performance of the necessary assessments, carry out required tests through their own accredited testing laboratory, or other accredited laboratories as subcontracts, and their subsequent evaluation. PCB employees may also under pre-specified conditions use the results of foreign testing laboratories to evaluate the product. Any subcontracts may be carried out only with a prior written consent of the client. An appointed PCB employee assesses the conformity of the test results and performed product assessments with the requirements of the standards, normative documents and the given certification scheme. The results of all evaluations performed will be stated in an evaluation report and in a final report. The final report is the basis for issuing a certificate. The final report, which summarizes the results of all evaluations carried out, is reviewed for completeness and accuracy by a PCB expert in charge of the review.

The head of the PCB or his deputy decides on the issuance of a certificate or on the refusal to issue a certificate. The decision to refuse certification is communicated to the client in writing.

#### **5. Supervision over a certified product**

The PCB performs supervision over the certified product or its production process. The supervision is focused on assessing whether the product consistently meets the requirements of technical standards or other normative documents the compliance of which has been demonstrated. The PCB performs periodic supervision during the validity of the certificate, usually once a year. An extraordinary supervision may be invoked on the basis of an external initiative. The stimulus may also be a communication from the certificate holder, concerning e.g. a change in the production process or the resumption of interrupted production. The supervision over certified products is performed by the certification body on the basis of a contract (and in the case of NB, if applicable) according to the relevant conformity assessment procedure of the given legislation and according to the scope of the notification for the given sector. The PCB also supervises a proper functioning of the quality system at the manufacturer's premises or a product control system at the importer's premises and randomly checks compliance with the established product requirements through control tests of selected parameters.

The results of the supervision are presented in a supervision report. If non-conformities are found during supervision and have not been eliminated within the specified period, the PCB will suspend the validity of the certificate and, if necessary, withdraw it.

In the case of supervision of issued certificates, they are carried out by NB according to the conformity assessment procedures (modules) specified in the relevant legal regulations according to the scope of the given notification and according to the relevant sector.

In certain cases, a status or a change of the certification status are also notified to the competent notifying authority. The notified body shall, in specified cases, inform other notified bodies of the certificates that have been refused, withdrawn, suspended or otherwise restricted. Details and procedures are in these cases set out in the relevant sectoral legislation.

#### **6. Appeals, complaints, disputes**

The place competent to file an appeal against the decision of the PCB, or to file a complaint, is the SZU secretariat. The appeal may be lodged by the appellant only in writing no later than 15 days from the date of receipt of the decision concerned. The appellant will receive a report on the course or result of the investigation within 30 days from the date of registration of the appeal, or within 60 days if the appeal is heard by the Certification Board. The appeal must always be clearly decided in the form of issuing formal certification documentation (certificate, or a decision to refuse to issue a certificate).

#### **7. Record keeping of certificates**

The PCB registers issued certificates (certification documentation). The information is provided by the head of the PCB department and/or an employee authorized by the head.

## 8. Certification system

The PCB of the Engineering Test Institute (hereinafter referred to as “SZU”) operates a certification system comprising its own certification schemes and those of other entities, incl. certification schemes of the country, based on instructions for their understanding, creation, operation and maintenance given in ČSN EN ISO/IEC 17067. Certification schemes and their identification and description are given in the annex to the PCB accreditation certificate.

Description (identification) of SZU certification schemes:

SZÚ-1a:2020.00	(based on scheme 1a of ISO/IEC 17067, which is based on testing and inspection)
SZÚ-1b:2020.00	(based on scheme 1b of ISO/IEC 17067, which is based on testing and inspection)
SZÚ-3:2020.00	(based on scheme 3 of ISO/IEC 17067, which is based on testing, inspection and production audit)
SZÚ-5:2020.00	(based on scheme 5 ISO/IEC 17067, which is based on testing, inspection and audit)

## **Rules for handling the certificate**

**(Text is located on the back of the certificate)**

1. For the purpose of placing the products on the market, this certificate may be used only during its period of its validity and provided that the provisions of the standards according to which the product has been certified remain valid. If the normative documents applicable to the certificated product have changed or new normative documents have been issued, the usability of the certificate must be reviewed.
2. The Certificate may only be used as a certificate of the product specified on the previous page. This also applies to its use in advertising, promotional and commercial materials. This Certificate may be copied in its entirety without written consent of the Engineering Test Institute. Unauthorized or deceptive use of the Certificate may result in its withdrawal.
3. It is prohibited to change, amend or overwrite the data contained in the Certificate.
4. The Certificate may not be used to document the properties of the products changed without consent of the Engineering Test Institute in such a way that conformity with the standards specified on the previous page has been affected.
5. The validity of the certificate is conditional on compliance of the production method with the proven production management system and on compliance with the contractual conditions for the supervision of products placed on the market. The control period is 1 year.
6. The Certification Body requires the certificate holder to keep records of all the complaints and corrective actions relating to the products covered by this Certificate.

## **CLIENT'S OBLIGATIONS**

### **in relation to the issued certificate**

The certificate holder (client) undertakes the following obligations:

1. For the entire period of validity of the certificate, they shall comply with the certification requirements (ČSN EN ISO/IEC 17065, Art. 3.7) and respond to changes affecting the certification (ČSN EN ISO/IEC 17065, Art. 7.10), if they are communicated by the certification body
2. If a production of the product is carried out, the certified product shall continuously comply with the requirements specified in the standards, or in other normative documents given by the certification scheme
3. When making a written reference to the certification, the client shall state the assigned registration number of the certificate and the name of the certification body
4. Issue declarations concerning certification only within the scope of the performed certification. The certification may not be used in a manner that the certification body might consider to be misleading or unauthorized. When referring to product certification in media such as documents, brochures or advertisements, the rules for handling the certificate shall be complied with
5. Provide copies of certification documents (certificate, final report) only in its entirety or as set out in the certification documents
6. Inform the certification body of any changes that may affect the ability to comply with the certification requirements. These changes include changes in the client's legal status, in the client's official address and in the address of the manufacturing plant, in ownership rights, organizational or management system, significant changes in the quality management system, changes in technology and staffing of technical employees, changes in technical product requirements or in other issues that may affect the ability to comply with the certification requirements
7. After the expiration of the certificate (suspension, revocation, cancellation or expiration of the specified period of validity), stop using all advertising materials that contain any reference to the certification concerned, act in accordance with the requirements of the certification body (e.g. return issued certification documents) and accept any other measures required

8. Submit to inspections (supervision) of the certification body during the period of validity of the certificate and undertake the necessary measures to enable such inspections to be carried out. Provide the relevant required documentation, records, access to all relevant places, areas, employees and suppliers of the client
9. Keep records of all complaints and claims that the client may have received and that relate to the subject of certification. Keep records of how these complaints have been handled and what corrective actions have been taken. Keep all records in such a way as to clearly identify the product, the nature of the complaint and the method of solution, and to allow verification of record keeping by the certification body
10. Allow observers to be present at the request of the certification body.

The certification body does not offer its own certification mark. The certificate holder may not use the accreditation mark of the certification body, which is accredited by the Czech Accreditation Institute under the number 3040, or the SZU logo or the logo of the Czech Institute for Accreditation o.p.s.

These above-mentioned obligations of the client in relation to the issued certificate are part of the certification agreement pursuant to Article 4.1.2 of ČSN EN ISO/IEC 17065.