



# **CERTIFICATION RULES**

# 1. INTRODUCTION

The Rules provide general information for applicants for certification and for holders of certificates of construction product certification (construction products manufacturers or their authorized representatives) regarding the certification process, requirements and criteria that need be met to obtain and maintain certification, as well as regarding the rights and obligations of LTM Cert, the applicant and the certificate holder in the process of obtaining and maintaining the certification.

# 2. TERMS AND DEFINITIONS

<b>Certification</b>	Attestation carried out by a third party, related to products.
<b>Certification body</b>	Body for the conformity assessment carrying out certification schemes as a third party.
<b>Record</b>	Document specifying achieved results or providing evidence on performed activities.
<b>Nonconformity</b>	Nonfulfillment of requirements.
<b>Correction</b>	An action eliminating revealed nonconformity.
<b>Corrective action</b>	An action eliminating the causes of determined nonconformities or other revealed adverse situations.
<b>Preventive action</b>	An action eliminating the causes of a possible nonconformity or other revealed adverse situations.
<b>Certification scheme</b>	The certification system that refers to certain products to which specified requirements, special rules and processes apply.
<b>Scope of certification</b>	Identification of the product that the certification is awarded to, applicable certification schemes, and standards and other normative documents, including also their issue date, according to which product conformity is assessed.
<b>Evaluation</b>	The combination of conformity assessment activity functions that relate to the selection and determination.
<b>Impartiality</b>	The presence of objectivity, which implies there is no conflict of interest or they are settled in such a manner that they do not negatively affect the body's activity.
<b>Objection (complaint)</b>	The expression of discontent, other than appeal, that a person or organization submits to the certification body relating to that body's activity, whereat a response is expected
<b>Appeal (claim)</b>	The demand of the applicant of a subject of certification to the certification body to reconsider the decision adopted in relation to that subject.
<b>Construction product</b>	Any product or kit which is produced and placed on the market for incorporation in a permanent manner in construction works or parts thereof and the performance of which has an effect on the performance of the construction works with respect to the basic requirements for construction works.
<b>Construction works</b>	Buildings and civil engineering works.
<b>Performance of a construction product</b>	The performance related to the relevant essential characteristics, expressed by level or class, or in a description.
<b>Essential characteristics of a construction product</b>	Those characteristics of the construction product which relate to the basic requirements for construction works.
<b>Level</b>	The result of the assessment of the performance of a construction product in relation to its essential characteristics, expressed as a numerical value.
<b>Class</b>	A range of levels, delimited by a minimum and a maximum value, of performance of a construction product.
<b>Harmonized area</b>	Area in which construction products are marketed or made available on the

	market in line with the Regulation (EU) No. 305/2011, i.e. by the assessment and verification of constancy of performance according to harmonized technical specifications.
<b>Non-harmonized area</b>	Area in which construction products to which the Regulation (EU) No. 305/2011 does not apply are marketed or made available on the market in line with the Construction Products Act, i.e. by the assessment and verification of constancy of performance according to Croatian technical specifications.
<b>Intended use</b>	The intended use of the construction product as defined in the applicable harmonized technical specification.
<b>Manufacturer</b>	Any natural or legal person who manufactures a construction product or who has such a product designed or manufactured, and markets that product under his name or trademark.
<b>Assessment and verification of constancy of performance</b>	Actions according to systems as set out in Annex V of the Regulation carried out by the manufacturer and the notified body as regards essential characteristics of the construction product to confirm the conformity with requirements.
<b>System of assessment and verification of constancy of performance</b>	A set of tasks for the manufacturer and the notified body constituting system 1+, 1, 2+, 3 or 4 in line with Annex V of the Regulation.
<b>Harmonized technical specifications</b>	Harmonized standards and European Assessment Documents.
<b>Croatian technical specifications</b>	Technical regulation, Croatian standard that the technical regulation refers to and the Croatian assessment document.
<b>Notified body</b>	The body for the assessment of conformity notified to the European Commission by the national notifying authority (Ministry of Construction and Physical Planning) as authorized to carry out third-party tasks in the process of assessment and verification of constancy of performance in the harmonized area of construction products.
<b>Approved body</b>	The body for the assessment of conformity authorized by the Ministry of Construction and Physical Planning to carry out third-party tasks in the process of assessment and verification of constancy of performance in the non-harmonized area of construction products.

### 3. GENERAL INFORMATION

#### 3.1 LTM Cert

LTM Cert is an integral part of the company LTM d.o.o., and as a certification body, it provides certification services for construction products and construction products factory production control, i.e. services of assessment and verification of constancy of performance of construction products according to systems 1.

Certification of construction products for **system 1** includes the activities of determination of the product-type on the basis of type testing (including sampling), type calculation, tabulated values or descriptive documentation of the product, initial inspection of the manufacturing plant and of factory production control, and continuous surveillance, assessment and evaluation of factory production control, in line with the standard HRN EN ISO/IEC 17065.

The activities of LTM Cert differ from other activities of LTM and are separated from those by the organizational structure.

LTM Cert manages the certification process activities, and has complete control and responsibility in carrying out the certification processes and in certification maintenance. LTM Cert carries out the certification in line with predetermined processes assuring transparency and record traceability.

### 3.2 Personnel and contact information

LTM Cert personnel consists of the Certification Body Manager who, in the certification process, reviews the assessment procedure, adopts decisions on certification and signs the certificate, and assessors who carry out evaluation and surveillance through initial inspection of the product, of the manufacturing plant and of factory production control, and continuous surveillance, assessment and evaluation.

<i>Full name:</i>	LTM društvo s ograničenom odgovornošću, Laboratorij za toplinska mjerenja (LTM limited liability company, Laboratory for thermal measurements)
<i>Abbreviated name:</i>	LTM d.o.o.
<i>Legal status:</i>	limited liability company
<i>Seat:</i>	Oroslavje, Stubička Slatina 26
<i>Entity reg. no. (MBS):</i>	080278071
<i>Reg. no. (MB):</i>	3461777
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<i>e-mail:</i>	<a href="mailto:ltm@ltm.hr">ltm@ltm.hr</a>
<i>Internet:</i>	<a href="http://www.ltm.hr">www.ltm.hr</a>

### 3.3 Application for certification

LTM Cert accepts the application for certification of each applicant, falling within the scope of its activities. The application is submitted for construction products or groups of products for which the applicant deems that conformity can be proven. It is filled in using a prescribed form, and regulated by a contract concluded before certification begins. The scope and the content of the application is finally determined during an introductory meeting in the assessment process at the manufacturing plant.

The scope of certification is determined by technical specifications and the product or group of products for a specific technical specification.

### 3.4 Assessment locations

Apart from assessment at the manufacturing location, assessments may also be carried out in other locations, if such locations are relevant to the scope of certification (for instance, the location of the subcontractor laboratory whose services are used by the manufacturer, locations of product incorporation, etc.).

### 3.5 Assessment costs

Certification costs are borne by the applicant. The costs are determined by LTM Cert price list and defined in the offer, i.e. contract with the potential client.

### 3.6 Impartiality

LTM Cert ensures its impartiality in processes through LTM Cert policy and processes that assure prevention of commercial, financial or other pressure on LTM Cert personnel. LTM Cert continuously identifies risks to impartiality that may arise from its activities, relations or personnel relations.

Impartiality is assured through the organization, involving interested parties' representatives, represented in an External Body for the Balance of Interests, in its activities and supervision of carrying out its activities.

In line with the determined policy, LTM Cert carries out certification processes without discrimination and objectively, on the basis of determined criteria.

LTM Cert services are available to all applicants, within the scope of LTM Cert activities, who fulfil the conditions prescribed by relevant standards and Certification Rules.

LTM Cert certification services are available to all the clients equally, and the access to the certification process is not conditioned upon the client's size or membership in any organization or group, nor is the certification conditioned upon the number of already issued certificates. LTM Cert does not set before its clients unjustified financial or other conditions.

The assessment and evaluation processes are carried out by impartial and independent assessors. Certification decisions are made by LTM Cert Manager or an authorized person who does not participate in the assessment and evaluation.

### **3.7 Confidentiality**

LTM Cert personnel that is included in certification activities may not make available to third persons confidential information obtained in the course of assessment or certification processes without written consent of the applicant or certificate holder. In case of legal obligation to disclose such information, the interested party shall be informed thereof in writing.

All the information on applicants and certificate holders are considered confidential, except for decisions on certification and general information regarding the certificate holder, such as: name and address of the manufacturer or authorized representative, name and address of the manufacturing plant and the scope of certification. That information is published in the Certificates Register on the internet page of LTM Cert.

Permanent employees of LTM are obligated to keep confidential all the information they come into contact with.

External associates and members of the External Body for the Balance of Interests sign declarations on keeping confidential the information of LTM Cert service users that they learn while carrying out specified or certification activities.

Access to LTM Cert premises is controlled. Service users and visitors are allowed to stay in the premises of LTM Cert only when accompanied by a permanent employee.

## **4. SCOPE OF CERTIFICATION**

### **4.1 Field of activity**

LTM Cert as a certification body is an organizational unit of LTM d.o.o. engaging in the assessment and verification of constancy of performance of construction products according to system 1 in line with the Regulation (EU) No. 305/2011.

Construction products and groups of products that are within the scope of activities of LTM Cert are specified in the *Scope of Certification of LTM Cert*.

Procedures of assessment and verification of constancy of performance of construction products are carried out in line with the Regulation (EU) No. 305/11 (hereinafter: the Regulation), in the harmonized area of construction products by the application of harmonized technical specifications, and based on the Construction Products Act (hereinafter: the Act) in the non-harmonized area of construction products, by the application of the Ordinance on conformity assessment, documents of conformity and the marking of construction products (hereinafter: the Ordinance), and Croatian technical specifications.

LTM Cert bases its work on the requirements of the HRN EN ISO/IEC 17065 standard, *Conformity assessment – Requirements for bodies certifying products, processes and services* (hereinafter: the Standard) with the goal of assuring and maintaining qualifications, expertise, consistency in work, independence and impartiality of LTM Cert.

#### **4.2 Certification schemes**

LTM Cert carries out certification and certification maintenance processes in line with the quality system established according to the requirements of HRN EN ISO/IEC 17065, EA 2/17, Regulation (EU) No. 305/11 and the Construction Products Act, applying also relevant decisions, ordinances and technical regulations.

Certification, i.e. assessment and verification of constancy of performance (abbreviated: AVCP) of construction products and factory production control that is within the scope of LTM Cert activities is carried out according to the requirements of the relevant certification scheme.

The certification scheme in the harmonized area based on the Regulation consists of the EU Decision on the processes of confirming conformity of construction products and harmonized technical specifications, and in case of the assessment and verification of constancy of performance it is the harmonized standard.

The certification scheme in the non-harmonized area based on the Construction Products Act consists of the Minister's Decision on systems of assessment of construction products conformity and the Croatian technical specifications, and in case of the assessment and verification of constancy of performance it is the technical regulation and/or Croatian standard referred to in the technical regulation.

Certification requirements for the applicant are clearly and unambiguously determined in the contract of which these Rules and relevant certification schemes that LTM Cert prepares for individual products or groups of products are integral part.

If interpretations are required for the application of certain certification schemes, those interpretations are provided by external committees and bodies.

LTM Cert adheres to the obligations of informing certificate holders of certification requirements changes in certification schemes (e.g. new standards or modifications in standards) in timely fashion, and of determining the deadline within which changes shall be implemented, and of supervising the implementation of those changes in management systems and processes of the certificate holder. Regarding modifications in standards, those deadlines are determined based on the period of co-existence of harmonized standards published in the NANDO base, i.e. based on the deadline of obligatory implementation of Croatian technical specifications. Thereat, the standpoint of the interested party is taken into account.

If necessary, considering the type and scope of changes of certification requirements, actions are undertaken that may include evaluation, reexamination, decision, issuance of a revised or new certificate with extension or restriction of the scope of certification, carrying out of extraordinary surveillance audits. If one of those activities is not necessary, it is to be specified with the reasons for excluding an activity (e.g. if the change is not a change of requirements for the product, evaluation, reexamination and adoption of a decision are not necessary).

LTM Cert takes into account also other changes that affect the certification, including also changes initiated by the client.

If until the expiration of the deadline, the certificate holder does not implement and apply changes, the certification validity shall not be extended. In these cases, certification is temporarily suspended or withdrawn, which may also be requested by the certificate holder.

#### **4.3 Certification of construction products according to system 1**

In system 1, LTM Cert issues the *certificate of constancy of performance of the product* on the basis of following:

- a) determination of the product-type on the basis of type testing (including sampling), type calculation, tabulated values or descriptive documentation of the product;
- b) initial inspection of the manufacturing plant and of factory production control;
- c) continuous surveillance, assessment and evaluation of factory production control.

Based on the certificate of constancy of performance of the product, the manufacturer *issues the Declaration of the performance of the essential characteristics of the construction product*, and is obligated to carry out:

- a) factory production control;
- b) further testing of samples taken at the factory in accordance with the prescribed test plan.

## **5. CERTIFICATION PROCESS**

### **5.1 Pre-application activities**

The manufacturer or his authorized representative may submit an inquiry to LTM Cert, in written form (mail, fax, e-mail), orally (by telephone) or during a visit.

The inquiry in written form should contain at least the following:

- general information about the manufacturer
- general information about the product and its intended use.

Based on submitted inquiry, LTM Cert shall deliver to the interested client necessary application forms and information on the manner of applying for certification.

Apart from the inquiry, the manufacturer or his authorized representative may request an informative meeting in their own premises or LTM Cert premises to exchange all necessary information regarding the possible certification process.

### **5.2 Application for certification**

LTM Cert accepts the application for certification when the applicant can provide evidence that he has a documented, applied and maintained production management system, based on the relevant standard and other documents, which means he is ready for assessment.

An application for certification includes:

- a) general information
- b) scope of certification
- c) overview of technical specifications applied
- d) overview of subcontracted services
- e) laboratory information
- f) contact persons and responsible persons.

The applicant encloses with the application documents of the manufacturer's system, with all the information regarding human and technical resources.

The application for certification is to be signed by the responsible person of the applicant. The responsible person guarantees for the truthfulness of information specified in the application for certification and commits to adhere to the requirements for certification and to submit all necessary information for carrying out the process.

### **5.3 Reexamining the application**

The Certification Body Manager reexamines and assesses the validity and the completeness of the application to determine that:

- a) the information about the client and the product are sufficient to carry out the certification process;
- b) all known differences in understanding the requirements between LTM Cert and the client have been solved, including the agreement related to standards or other normative documents;
- c) the scope of requested certification is defined;
- d) the means for implementing all evaluation activities are available;
- e) LTM Cert is qualified and able to carry out certification activities.

By reexamining documents, LTM Cert Manager determines the manufacturer's quality system conformity, as well as that of other documents and records, with the requirements of technical specifications and certification schemes and relevant regulations.

This information is recorded by the LTM Cert Manager in the report on application reexamination. That report shall clearly specify if the documents are complete, and if the contents of the documents are in line with the requirements.

Based on documents assessment, acceptance of the application (with or without certain corrections), preassessment or rejection of the application may be proposed.

#### *5.3.1 Rejection of the application*

When, based on reexamination, insufficiency of documents and nonconformities are determined to such an extent to propose application rejection, LTM Cert informs the applicant that the application is rejected and returns all submitted documents to the applicant.

When ready, the applicant may resubmit the application for certification and submit new documents.

#### *5.3.2 Preassessment*

Based on the results of documents assessment, LTM Cert may request carrying out of a preassessment procedure at the applicant's expense. In the course of preassessment, actual preparedness of the applicant for the certification process and assessment and verification of constancy of performance is evaluated.

Preassessment is carried out in the same manner as assessment on the spot.

#### *5.3.3 Accepting the application and preparations for assessment on the spot*

When LTM Cert Manager determines that submitted documents are sufficient, or should be supplemented by minor corrections, the certification process may start.

LTM Cert Manager may determine that the applicant is ready for assessment immediately or that certain corrections of nonconformities as determined during documents reexamination need be implemented.

If the applicant is ready for assessment on the spot, preparations for assessment on the spot begin.

Preparations for assessment on the spot include administrative, organizational and expert preparations.

Administrative preparations refer to any form of financial needs that need be solved prior to assessment on the spot.

Organizational preparations refer to the arrangement of transport, accommodation and other resources for unhindered assessment.

Expert preparations refer to the preparation of an assessment plan and agreement with the applicant regarding necessary details for assessment (including also the notification to the applicant to prepare all necessary documents and information on work so that all assessment activities may be duly implemented).



## 5.4 Evaluation in the certification process

LTM Cert conducts evaluations according to a predetermined plan for evaluation activities. Evaluation is conducted by an appointed individual, appointed by LTM Cert Management. All necessary information and documents needed for the evaluation are collected before planned evaluation to enable the carrying out of all necessary activities.

### 5.4.1 Appointing assessors

The Certification Body Manager proposes the assessor or group of assessors for carrying out the assessment and verification of constancy of performance of construction products according to the application for certification. LTM Director appoints the assessor or group of assessors at the proposal of the Certification Body Manager.

The applicant is informed of the appointed assessor or group of assessors and can submit a written objection to the appointed assessor or assessors if there are reasons for that within 15 days, or can immediately inform LTM Cert that there are no objections to the appointed assessor or assessors.

If the applicant makes an objection to the appointed assessor or assessors, LTM Cert shall consider it, and if deemed justified, another assessor shall be appointed. If the objection is deemed unjustified, and the applicant still insists on it, it is considered an appeal, and a procedure is initiated in line with the procedure for settling appeals.

#### 5.4.1.1 Assessment of construction products performance, i.e. initial type testing (in system 1)

The requirement in system 1 is that the taking of the representative sample and initial type testing of the product be carried out by a third party (authorized body). Assessment of the construction product performance is carried out based on tests, calculations, tabulated values or descriptive documentation of the products, etc.

LTM Cert's authorized person takes a random sample that is a representative sample of the product being assessed. If the certification scheme or the attitude of a group of authorized bodies allows for the client to perform the sampling for the assessment of construction product performance or initial type testing, then the authorized person shall demand from the client a declaration of product identicalness. In that case, LTM Cert's authorized person shall receive the sample, inspect its state and compile a protocol on sample acceptance.

After sampling/accepting the sample, it is turned over to LTM Laboratory for initial testing. LTM Laboratory issues a test report on each carried out test in line with the procedure prescribed in the Laboratory.

For the needs of assessment as regards test results in system 1, the certification body may use test reports for tests that have been carried out before the application for certification, if the conditions specified in LTM Cert's Certification process have been met. The certification body shall notify the manufacturer of the possibility of using such reports prior to forming a plan of necessary additional tests.

If these conditions have been met, the certification body shall accept the results of previous tests, and shall perform type determination based on those.

If such tests have not been carried out, the certification body shall sample the product at the manufacturer's location and make sure to obtain necessary information by testing such product sample.

When the manufacturer is commencing with the manufacture of a certain product type, the certification body shall request a test sample of the product for testing and based on that make a conclusion on product type.

During regular audits, the certification body shall not take samples from production, but shall carry out product sampling by selecting a random sample, and test if it was made according to a certain product type (dimensional check, check of incorporated materials and other essential characteristics that determine the product type). Deviations from certified product are allowed only to the extent allowed in the product standard.

#### *5.4.2 Assessment on the spot*

The assessment program is presented in the certification scheme. An assessment plan is made for certain activities of the assessment and verification of performance. The assessment plan is submitted to the applicant at the latest 4 days before assessment. Arrangements for assessment may be agreed upon earlier, orally, and no records need be kept of that.

Assessment on the spot is carried out according to the standard HRN EN ISO/IEC 17065 and the relevant technical specification, applying the requirements of the standard HRN EN ISO 19011 for carrying out the assessment.

Assessment on the spot is carried out in three phases:

##### *1) Opening meeting*

Assessor(s) and the applicant's representatives confirm the assessment plan and the final scope of certification. All requirements, assessments and decisions of the assessor and LTM Cert refer to the final scope of assessment.

The assessor shall inform of the course of assessment and the certification process in short.

##### *2) Inspection and assessment*

The applicant (manufacturer) shall enable the assessor insight into all important documents, access to all the rooms related to the requested scope of certification, and contacts with the personnel involved in procedures included in the assessment.

The assessor shall collect sufficient information based on which he/she can make an appropriate recommendation on certification. In the course of examination and assessment, the assessor shall review documents and records, implementation of prescribed documents, carrying out of procedures, course of manufacturing; he/she shall conduct interviews with key personnel and, if necessary, other applicant's personnel to acquire all relevant information to determine conformity of work with the relevant technical specifications and regulations.

If preparedness is determined as being insufficient, the assessment may be called preassessment by the assessor's decision.

If the manufacturer is determined as being prepared for certification, then the decision may be conditioned upon the elimination of determined shortcomings and nonconformities.

##### *3) Closing meeting*

The assessor informs the applicant's representatives on the results of carried out assessment, which includes determined nonconformities and recommendations (if any).

The applicant's representatives give their statements on assessment results.

If nonconformities have been determined during assessment, the deadline for their elimination is agreed upon, and may last mostly 3 months. Assessment is concluded by handing the report on nonconformity to the applicant, whose representative, as sign of acceptance, confirms it by his/her signature.

The report on the initial inspection of the manufacturing plant and of factory production control is submitted to the applicant at the latest within 14 days after completed initial inspection.

### **5.5 Reexamination of evaluation**

Within the agreed deadline, the applicant shall inform LTM Cert of eliminated nonconformities and submit evidence that corrections or corrective actions have been undertaken. Based on submitted evidence, the assessor shall determine if nonconformities have been eliminated. Determination of the efficacy of corrective actions may require an additional visit to the applicant. The costs of such visit are borne by the applicant.

If the nonconformity is not eliminated within the deadline, the process is terminated and may be reinitiated only by submitting a new application. A new application may be submitted 3 months after process termination.

If the assessor confirms that the nonconformity has been eliminated, the assessor prepares a report on the evaluation of constancy of performance that includes a proposal to the person authorized for reexamination of certificate award. The assessor recommends the following:

- certification in the applied scope,
- certification in the restricted scope,
- certification not recommended.

Reexamining all information and results of evaluation is realized by the Certification Body Manager. If the Certification Body Manager is also the assessor in that procedure, reexamination is carried out by the Deputy Certification Body Manager, ensuring that the person involved in the evaluation process does not carry out the reexamination. The Certification Body Manager has to have access to the entire documentation of this process.

### **5.6 Adopting the decision on certification**

LTM Cert appoints a person for adopting the decision on certification based on all the information related to evaluation, reexamination and all other relevant information.

The decision on awarding the certificate is adopted based on the positive report on the evaluation of constancy of performance (proposal of the assessor), and based on the recommendation for certification. If the person adopting the decision on certification is the Certification Body Manager, then he/she does not need to document the recommendation for certification.

LTM Cert informs the applicant and the relevant Ministry of the decision on certification, be it positive, negative, or positive only for some, but not all products.

### **5.7 Documents in certification**

For positive decisions on certification, LTM Cert issues to the manufacturer a relevant certificate with an annex to the certificate describing in detail the scope of certification.

Conditions for issuing that certificate are the following:

- a) decision made on the award or extension of the scope of certification;
- b) fulfillment of all certification requirements;
- c) signing of the certification contract.

Annex to the certificate states the names, codes, levels and classes of performance and intended uses of the product.

The content and the form of the certificate for products from the harmonized area is in line with the Regulation (EU) No. 305/2011, and in the non-harmonized area, the content and the form are prescribed by the Construction Products Act and the Ordinance derived from that Act.

The certificate and the annex to the certificate are signed by the person who made the decision on certification.

The certificate is of unlimited validity, and in line with the relevant technical specification for the product further actions are undertaken based on which its validity is assessed normally once, or several times a year, in line with the certification scheme.

Based on obtained certificate, the applicant compiles the *declaration of performance* that is not withdrawn as long as the certificate is valid. The declaration of performance is compiled in line with

Annex III to the Regulation (EU) No. 305/11 for the harmonized area, i.e., in line with the Ordinance derived from the Construction Products Act for non-harmonized area.

The manufacturer shall affix the CE marking (in the harmonized area), i.e. C' marking (in non-harmonized area) to all construction products for which the manufacturer has drawn up a declaration of performance.

The CE, i.e. C' marking shall be affixed visibly, legibly and indelibly to the construction product or to a label attached to it, or it shall be affixed to the packaging or to the accompanying documents.

The CE, i.e. C' marking shall be affixed before the construction product is placed on the market. Along with affixing the CE, i.e. C' marking to the construction product, the manufacturer shall state that he assumes responsibility for the conformity of that product with declared performance.

### **5.8 Register of certified products**

LTM Cert keeps a register of certified products, which, among else, contains the following:

- a) identification of the construction product;
- b) standard and other normative documents according to which conformity has been certified;
- c) identification of the client.

At request, LTM Cert provides at least the information on the validity of awarded certification.

The content of the register of certified products is publicly available on internet pages of LTM d.o.o., which is known to the client.

During the validity of the certificate, all the documents belonging to the certification are stored in LTM Cert. The applicant is obligated to submit all the information on changes, and possible objections and appeals by the customers, inspection findings and other information relevant for the certification.

### **5.9 Surveillance audits**

In line with the certification schemes, LTM Cert carries out continuous surveillance, assessment and evaluation to verify continued fulfillment of declared performance of a certified product, i.e. conformity of factory production control with all relevant requirements. The condition for certificate maintenance is continued and complete fulfillment of certification requirements. Surveillance is to be carried out in the period from the day of issuing the certificate until the validity expiration date.

LTM Cert carries out regular and extraordinary surveillance audits.

#### *5.9.1 Regular surveillance audits*

Regular surveillance audits are carried out in line with certification schemes that describe the frequency of surveillance.

The deadline within which regular surveillance audit needs be carried out is the month before or after as regards the planned surveillance time.

Surveillance is carried out in the same manner as the initial inspection, and is carried out by the appointed assessor. LTM Cert informs the certificate holder of the regular surveillance audit at the latest 2 weeks before the planned date.

LTM Cert may demand the submission of relevant documents and records to be used by the assessor within the scope of preparation for the assessment at the manufacturer's location, if deemed necessary.

In the surveillance audit at the manufacturer's location, in addition to the requirements of the standard, the following shall be carried out each time:

- assess the efficacy of carrying out corrective actions and/or other actions for the elimination of nonconformities established in previous assessments and/or surveillance audits;
- check the legal status and ownership relations;
- assess the implementation of internal audits and test the management;
- check the composition and the status of persons involved in carrying out the certification;
- assess the implementation of processes for which certification was awarded, according to a determined plan;

- assess all the factory production control activities, by vertical assessment;
- carry out comprehensive factory production control assessment by horizontal assessment procedures (e.g. documents management, staff education program, etc.);
- assess the state of manufacturing, testing and/or measuring equipment as regards calibration, when applicable, traceability to national or international standards, and participation in interlaboratory comparison and proficiency test programs;
- inspect documents issued for the purpose of placing the product on the market (declaration of performance, conformity marking).

The report on regular surveillance audit may contain recommendations for further activities (e.g. dates of next surveillance audits, change of the scope, suspension, withdrawal). If during the surveillance audits nonconformities are determined, the deadline for their elimination is mostly 3 months.

The report is submitted to the applicant at the latest 14 days upon completed surveillance audit (completion of the surveillance audit includes the completion of all activities of necessary tests within the scope of competence of LTM Cert, elimination of all nonconformities, etc.).

The Certification Body Manager reexamines the surveillance documents, confirms continued validity of the certificate by signing the report on regular surveillance audit, and informs the certificate holder thereof in writing.

#### *5.9.2 Extraordinary surveillance audits*

Extraordinary surveillance audit can be carried out based on the following:

- appeal in written form,
- changes that may affect the fulfillment of certification requirements (e.g. changes of the legal status, management, changes of personnel, changes of procedures, etc.),
- applications for certificate validity renewal with temporary interruption (suspension),
- applications for the extension of the scope of certification.

The decision on carrying out extraordinary surveillance is made by the Certification Body Manager. If the groundedness of the appeal is determined, the costs of surveillance shall be borne by the certificate holder, if not, the person who filed the appeal bears such costs. In all other cases, the costs are borne by the holder.

#### **5.10 Extension of the scope of certification**

The extension of the scope of certification is carried out in the same manner as the initial certification process. The application for the extension can be submitted to LTM Cert by the manufacturer at any time, but it is recommended that it be carried out within the regular surveillance audit.

If the certificate extension is related to an additional product according to the same standard, the assessor adopts the decision on the need to undertake the audit or on the extension simply by evaluating submitted reports on the determination of the product-type. If the product is manufactured according to another standard, all parts of the process not covered by the earlier certification need be carried out.

Extension of the scope of certification does not impact the certificate validity period.

#### **5.11 Restrictions of the scope of certification**

Certification restriction refers to the reduction in the scope of certification that may be requested by the manufacturer when he is no longer able to fulfil certification requirements, or at the recommendation of the person carrying out the evaluation based on evaluation results in the part of the scope of certification that no longer fulfills the criteria based on which certification was awarded.

#### **5.12 Certification suspension**

Certification suspension may occur for part of the scope of certification or for the whole certification, voluntarily or forcedly. Voluntary suspension is initiated at the client's request by temporarily

suspending the validity of certification (in part or in full), and forced suspension occurs when in the surveillance audit or other activities critical nonconformities are determined. Suspension may last mostly 6 months, after which LTM Cert makes the decision on further certification. If in the course of 6 months reasons that lead to the suspension are not eliminated, certification is withdrawn.

### **5.13 Certification termination**

Certification termination is initiated at the client's request, when for some reason the client is no longer able to maintain the certificate for his product. Certification termination is approved by the person making decisions on certification.

### **5.14 Certification withdrawal**

Certification withdrawal may occur after the expiry of the certification suspension period or when in the course of an audit or similar procedure critical nonconformities are determined that lead into question the maintenance of criteria based on which certification was awarded. When withdrawing the certificate, the client is obligated to return obtained certificates with annexes to certificates. The client can regain the certification status by submitting a new application and by carrying out a new certification procedure at the earliest 6 months after certification withdrawal.

### **5.15 Recertification**

Recertification is carried out as first certification. Recertification may occur after permanent withdrawal of the certificate or large extension of the scope of assessment and verification of constancy of performance. The decision on recertification is adopted in the same manner as the first decision on certification.

## **6. OBLIGATIONS**

### **6.1 Obligations of LTM Cert**

LTM Cert commits to ensure the following in carrying out the certification and its maintenance:

- carrying out of all procedures in line with determined rules,
- limiting assessors' activities to assessing the level of conformity with the certification requirements;
- impartiality of persons participating in the certification;
- confidentiality of documents and information collected during the certification;
- publicly available information on the certificate status and its regular updating;
- information on traceability of results as regards the scope of certification;
- timely notifications regarding all the changes of certification requirements.

### **6.2 Obligations of the certificate holder**

The certificate holder shall continuously and permanently meet the certification requirements and act in everything in accordance with stipulated provisions that require the following:

- continuous fulfilment of certification requirements for the field (products) that the certificate was issued for, including also the adjustment to changes of certification requirements that LTM Cert informs him of;
- continuous and permanent adherence to the requirements related to the provisions of the Regulation (EU) No. 305/11, legal provisions and obligations that arise from the contract, and undertaking necessary actions depending on determined nonconformities, observations or opportunities for improvement;
- undertaking all necessary measures to ensure:

- carrying out of evaluations and surveillance, examination of documents and records, access to the manufacturing plant, equipment and personnel and access to the manufacturer's subcontractors;
- investigating objections;
- participation of observers (e.g. witness audit);
- giving statements related to the certification in accordance with the scope of certification;
- that the certification is not used in a manner that may cause distrust toward LTM Cert and that the certificate holder gives no statements related to the certification that LTM Cert may deem misleading or if unauthorized to give such statements;
- discontinuing the use of all promotional material referring to the certification after certification suspension, withdrawal or termination;
- making sure all copies of the certificate that the certificate holder makes available to others are full copies;
- that the certificate holder adheres to LTM Cert requests and those of the certification scheme when referring to the certification in documents, brochures, and commercials;
- the use of CE, i.e. C' marking in the manner as prescribed by the certification scheme;
- keeping records of all objections made known to him, and that refer to the conformity with certification requirements and make them available at LTM Cert's request;
- undertaking of relevant actions related to objections and other shortcomings affecting the conformity with certification requirements;
- to document undertaken actions;
- to inform LTM Cert without delay of all significant changes related to the certification as regards legal, commercial, ownership or organizational status, organization, quality management system, management and key personnel, suppliers and raw material, changes on the product or in the manner of production, address and place of manufacture and other issues that may affect the capacity to fulfil certification requirements;
- payment for carrying out the certification in line with LTM Cert's price list.

LTM Cert shall undertake all actions with the goal of assuring that the certificate holder:

- fulfils completely the requirements for the requested certification status, when referring to certification via internet, documents, commercial materials;
- makes no statements related to certification that may be misinterpreted or may be ungrounded;
- uses the number of the notified, i.e. approved body only with the declaration of performance and the CE or C' marking;
- takes care that the declaration of conformity and other documents are not issued in the manner leading to misinterpretation.

If an incorrect reference to status occurs, LTM Cert shall undertake appropriate actions: demand corrective actions, suspend or even withdraw the certification, or other actions.

## **7. OBJECTIONS AND APPEALS**

### **7.1 Objections (complaints)**

The applicant/certificate holder is entitled to object. An objection is an expression of dissatisfaction of a legal or natural person related to the activities and procedures of LTM Cert and certificate holder. LTM Cert assesses the importance of the objection, and in case of its justification, undertakes relevant actions in line with the prescribed procedure. The objections procedure is available to the person submitting the objection at his/her request.

The person submitting the objection is informed in writing of the results of solving the objection. Records are kept of all objections and undertaken measures. LTM Cert acts as seen fit with the objections that are not made in written form or come from an unidentified source.

### **7.2 Appeals (claims)**

The applicant/certificate holder has the right to appeal. The appeal of the certificate holder is the request for reexamination of a negative decision of LTM Cert and it refers to its desired certification status. Negative decisions may be:

- rejection to accept the application;
- rejection to continue the assessment;
- requests for corrective actions;
- changes in the field of assessment and verification of constancy of performance;
- decisions on rejecting, suspending or withdrawing the certificate;
- other activities that preclude the obtaining and/or the maintenance of the certificate.

LTM Cert policy is not to meet the conditions for filing an appeal in the course of certification. However, if an appeal does occur, it is solved without delay. LTM Cert informs the person submitting the appeal on the results of the appeal solving procedure in written form.

The appeal procedure is available to the person submitting the appeal at his/her request.



## **8. SUSPENSION, WITHDRAWAL OR NARROWING THE SCOPE OF ACCREDITATION**

In the event of suspension of accreditation in part or in whole or withdrawal of accreditation, LTM Cert shall immediately cease to use the accreditation symbol and referring textually to the status of accreditation. This includes all documents issued by the certification body and the website, in the part of activities for which accreditation has been suspended or withdrawn.

LTM Cert, in case its accreditation is suspended or withdrawn, immediately informs its clients to whom the certificate has been issued as well as the clients with whom the certification process has been just started. The notification contains information on the suspension of accreditation and the status of documents issued before the suspension and withdrawal of accreditation and that documents and results issued under suspension or after withdrawal of accreditation are not under scope of accreditation.

All documents issued by LTM Cert during the validity of the accreditation are clearly marked with the accreditation symbol and the number of the notified / approved body and the text referring to the accreditation status. In case of suspension or withdrawal of accreditation, documents are issued without the accreditation symbol and the text mentioned above.

Issued certificates do not have a specific validity period, but annual regular inspection of factory production control are mandatory. In case of suspension or withdrawal of accreditation, such certificates are valid until the first regular inspection of factory production control planned by LTM Cert. In that case, the certificates are then taken over by another accredited certification body and are still valid according to the conditions under which the accredited body that took them over operates.

## APPENDIX 1: Flow chart of the certification process

