liftinstituut
SINCE 1933

Regulations

Product Certification

2.0.1-NL

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Contents

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0. Introduction

This regulation of Liftinstituut B.V. sets down the method and conditions in accordance with ISO/IEC 17065 for the assessment and certification of products by Liftinstituut B.V. as a certification body, hereafter Liftinstituut.

0.1 Version management

In this version paragraph 7.1 is changed.

The current version of this document and the specific regulations can be found on the website of Liftinstituut (www.liftinstituut.com). Regulation 2.0.3 is merged with this Regulation and is therefore no longer exists. All previous versions are superseded by this version.

1. Area of application

Products will be examined and assessed and certified, in accordance with these general regulations in combination with one or more of the applicable requirements/standards.

2. Requirements

2.1 Standards and guidelines for the client

The client's product has to meet the requirements that are mentioned in the regulations that are specific to certain domain as laid down in chapter 1 of this regulation.

2.2 Standards and guidelines for Liftinstituut

In carrying out its assessments Liftinstituut employs the following prevailing standards, taking into account any possible transitional periods:

- ISO/IEC 17065; "Conformity assessment, Requirements for bodies certifying products, processes and services";
- RvA Specifiek Accreditatie Protocol SAP-C008: "Productcertificatie algemeen";
- RvA Specifiek Accreditatie Protocol SAP-A004: "Richtlijn 2014/33/EU – Liften en veiligheidscomponenten voor liften";
- RvA Specifiek Accreditatie Protocol SAP-A005: "Richtlijn 2006/42/EG Machines".

Additionally, for North America:

- ASME A17.7.1/CSA B44.7.1 "General Requirements for Accredited Elevator/Escalator Certification Organisations".

3. Terms and definitions

Assessment (reassessment included)	=	Systematic independent and documented process for acquiring objective evidence in order to determine the degree to which the product meets the agreed criteria.
Certificate holder	=	The owner of the certificate; this does not have to be the manufacturer or the client, though this is usually the case. The certificate holder is the party Liftinstituut addresses after the initial assessment.
Certification	=	Process of the assessment activities with the aim to issue a certificate.
Client	=	The party commissioning the certification process. This does not necessarily have to be the manufacturer or the certificate holder. During the initial assessment the client is the party that is addressed by Liftinstituut.
Examination	=	Checking of a product against the requirements.
Major non-conformity	=	A deviation ascertained when the product does not correspond to the certified product, the requirements of the standard applied, and when this

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		deviation is expected to have a direct negative influence on safety of the product.
Manufacturer	=	The manufacturer of the product. This party can be the client and/or the certificate holder.
Minor non-conformity	=	A deviation that has no direct negative influence on the safety of the product.
Random check/ Surveillance assessment	=	Internal production control plus supervised product checks at random intervals.

4. Processing applications

4.1 Quotations

The conditions for all verbal and written quotations have been laid down in the general terms and conditions of supply. These can be found on the internet site www.liftinstituut.com or will be sent out on request.

Liftinstituut is committed to a policy of equal opportunities that forbid discrimination of any kind. Services of Liftinstituut are available for all applicants whose activities are within the scope of our services.
Liftinstituut may decide not to accept an application in the event of unauthorized acts by the applicant, such as participating in illegal activities, history of repeated non-compliance with the certification / product requirements, or similar issues.

Liftinstituut limits its requirements, assessment, decision making and supervision to aspects specifically related to the applicable scope.

Liftinstituut is not liable for possible damages arising as a result of either the application for certification, or the rejection of the quotation.

4.2 Orders

Orders are processed as soon as the quotation has been comfirmed by the client. Orders will be conceived as a certification contract.

A certification order can only be handled by Liftinstituut when the client:

- has agreed with these regulations and other appliable regulations of Liftinstituut;
- has signed and returned the quotation.

In the following cases Liftinstituut will not accept a certification order:

- the product that is to be certified has already been placed under another certification body;
- the product is offered for certification unchanged after it has been rejected by another certification body;
- if the relationships between client / certificate holder / manufacturer have not been settled;
- if in the last two (2) years Liftinstituut Solutions has provided consultancy regarding the development of the product to be certified;
- if there is an unacceptable risk of independency between client / certificate holder / manufacturer and Liftinstituut (consultancy by Liftinstituut Solutions).

4.3 Responsibilities

4.3.1 Liftinstituut

Liftinstituut:

- is responsible for an application review when creating the quotation;
- is responsible for the deployment of qualified personnel, forming an assessment team as well as for the extent of the examination and/or the assessment to carry out a certification assignment;

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- will while an assignment is being carried out, act in accordance with the appropriate legislation, standards, directives and its own regulations;
- will always treat all the information it obtains relating to the fulfilment of a certification assignment confidentially;
- will inform the certificate holder if Liftinstituut is legally obliged to submit information it obtains relating to the fulfilment of a certification assignment to a competent authority, unless this is prohibited by law;
- will supervise the correct use of the certification mark.

4.3.2 Client / certificate holder

The client / certificate holder:

- always fulfils the certification requirements, including implementing appropriate changes when they are communicated by Liftinstituut;
- ensures that, if the certification applies to ongoing production, the certified product continues to fulfil the product requirements;
- makes all necessary arrangements for
  - the conduct of the assessment, including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;
  - investigation of complaints;
  - the participation of observers, if applicable;
- makes claims regarding certification consistent with the scope of certification;
- does not use its product certification in such a manner as to bring Liftinstituut into disrepute and does not make any statement regarding its product certification that Liftinstituut may consider misleading or unauthorized;
- shall upon suspension, withdrawal, or termination of certification, discontinue its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;
- shall reproduce the documents in their entirety or as specified in the certification scheme, if copies of the certification documents are provided to others;
- complies with the requirements of Liftinstituut or as specified by the certification scheme in making reference to its product certification in communication media such as documents, brochures or advertising;
- complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product;
- keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to Liftinstituut when requested, and
  - takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;
  - documents the actions taken;
- informs Liftinstituut, without delay, of changes that may affect its ability to conform with the certification requirements.

4.4 Outsourcing

Liftinstituut:

- outsources evaluation activities only to accredited bodies that meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents;
- has a legally binding contract with the body that provides the outsourced service;
- takes responsibility for all activities outsourced to another body;

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- by using accredited bodies it is ensured that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised;
- informs the client in advance of outsourcing activities, in order to provide the client with an opportunity to object.

5. Requirements when taking over certification activities from another certification body
When taking over a certification of a product under accreditation that has been carried out by another accredited certification body, the following activities are carried out:

- determining that the certification activity is within the accredited certification scope of Liftinstituut;
- determining that there is a valid certificate, issued under accreditation;
- verifying that the client has declared that there are no findings against the former certification body concerning the procedure, the product and/or of a technical nature;
- verifying that the contract with the former certification body has been ended;
- verifying that the manufacturer declares that actual product is still in full conformity with the certified product.

Products of which the certificate is suspended or withdrawn are always excluded from a take-over. Products that are certified by non-accredited certification bodies are excluded from a take-over under accreditation.

6. Assessment

6.1 Assessment team
An assessment will be executed by a team of Liftinstituut. An assessment team is managed by a project manager and may consist of one or more employees. If necessary, the assessment team can be extended with other expertise.

6.2 Types of assessments
The types of assessments are:

1. initial assessment;
2. reassessment;
3. random check / surveillance assessment.

6.2.1 Initial assessment
This assessment shall demonstrate that the product design and a representative product is in conformity with the requirements set (functional and product requirements) and exists of:

- **Documentation assessment**

Examination and assessment of the technical construction file of the product.

The client has to:

- submit all relevant information describing the product to be certified (includes technical drawings, calculations, product specifications and parameters, production details, etc.);
- hand over all relevant and applicable documentation and registrations of the design;
- be aware of all the relevant requirements;
- make available, if necessary, internal inspection reports of the production quality.

- **Examination on-site**

An examination of a representative product on-site, including testing. It may be possible that in addition to non-destructive tests, destructive tests may be conducted.

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In practice it is possible that the documentation assessment and the examination on-site are combined.

When necessary the product concerned may be examined or tested by an accredited laboratory, which shall be part of the order confirmation or on the basis of a separate order.

- **Remote examination during Covid19 lock down period**

For certain (re)assessment of products a remote examination is possible. It is determined by Liftinstituut on mutual agreement with the client if a remote examination is possible.
The content of a remote examination is equivalent to an examination on site.

The safe (cyber security) remote-infrastructure shall be provided by the client. A remote examination plan shall be drawn up by Liftinstituut and coordinated with the client before the remote examination takes place. In the examination plan all documents, tests, infrastructure on location and tools are prescribed.

The client shall:

- allow the team members of Liftinstituut to carry out an examination and testing of the product on-site, give access to documents, data, parameters, etc. necessary for this, and at the request of a team member/ the team members offer assistance where necessary;
- make a person, responsible and appointed by the client, be available during the examination;
- provide a safe (cyber security) remote-infrastructure in case of remote examination.

6.2.2 Reassessment
A reassessment is performed on request when the validity of the certificate is expired or modifications are implemented in the certified product.

This reassessment shall demonstrate that the product design and a representative product are still in conformity with the requirements set (functional and product requirements) and may exist of the same items as mentioned in 6.2.1.

6.2.3 Random check / Surveillance assessment
If surveillance is required by the certification scheme, the client shall apply for a surveillance assessment or a random check of the product(s) covered by the certificate.

6.2.3.1 Random check – Lifts Directive
Before an EU type-certified safety component under the Lifts Directive 2014/33/EU may be placed on the market, a random check according to annex IX of the Directive shall be carried out to allow the certificate holder to affix the identification number 0400 of Liftinstituut at the CE marking of the product as per art. 10 (2) of the Lifts Directive 2014/33/EU.

The random check consists of an examination if a randomly chosen sample of the certified product still fulfils the requirements.
The random checks, are conducted on the basis of a written agreement with Liftinstituut (see also Section 6.3).

6.2.3.2 Surveillance assessment ASME / CSA standards
Liftinstituut will perform surveillance assessments based on the EN ISO/IEC 17067 system 3 during the initial assessment and during the validity of the certificate (see also Section 6.3).

The surveillance assessment consists of an examination if a randomly chosen sample of the certified product (still) fulfils the requirements.

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The surveillance assessments are conducted on the basis of a written agreement with Liftinstituut (see also Section 6.3).

6.2.3.3 Remote Random checks and surveillance assessment during Covid 19 lock down period

For certain random checks and surveillance assessments of products a remote examination is possible. If a remote examination is possible is determined by Liftinstituut on mutual agreement with the client. The content of a remote examination is equivalent to an examination on site.

The safe (cyber security) remote-infrastructure shall be provided by the client. A remote examination-plan shall be drawn up by Liftinstituut and coordinated with the client before the remote examination takes place. In the examination-plan all documents, tests, infrastructure on location and tools are prescribed.

6.3 Intervals

The random check must be performed yearly during one certification cycle of five (5) years.
The 1st random check shall be carried out before putting the certified product on the market.
The schedule will be tuned with the client.

The surveillance assessments will be carried out yearly during one certification cycle of three (3) years.
The 1st surveillance assessment shall be carried out before the issuance of the certificate of conformance.
The schedule will be tuned with the client.

It is the responsibility of the certificate holder to comply with these intervals.

6.4 Reporting

The report of an assessment contains at least:

- identification of the product;
- identification of the client/certificate holder;
- identification of the manufacturer;
- identification of the project manager and any team members;
- the test criteria;
- the type of assessment;
- the dates and locations of the assessment activities;
- any observed non-conformities and the corrective measures to be taken by the client / certificate holder;
- the general findings;
- the assessment conclusion.

The report remains the property of Liftinstituut.

The report may be copied only in full and under the condition of permission of both the certificate holder and Liftinstituut.

6.5 Non-conformities

Non-conformities found are recorded in a report. The client must take corrective measures.

Where applicable the timetable for implementing the corrective measures will be determined in the report. The monitoring of the timetable is the responsibility of the client.

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7. Certificate and certification mark

7.1 Certificate

The Product Manager Certification on the certification of the relevant product within 15 working days of receipt of the certification advice from the project manager.

With the following assessment types, the following decisions can be made:

- initial assessment: granting/not granting a certificate;
- random check / surveillance assessment: retaining, suspending or withdrawing an existing certificate.

If a certificate is granted, the certificate contains at least:

- the name of the certificate holder;
- the product in name, type number and when applicable with specific properties;
- date of issue;
- the validity end date of the certificate;
- a unique identification code;
- the product requirements to which the product is assessed;

The certificate remains the property of Liftinstituut.

7.2 Suspension of the certificate

The certificate can be suspended for a maximum of 12 weeks or, in exceptional cases, longer after consultation with Liftinstituut, for example when:

- the certificate holder demonstrably does not meet the certification criteria;
- the registration, the certificate and/ or logo of Liftinstituut are not used correctly;
- the certificate holder does not meet its financial obligations to Liftinstituut.

The certificate holder is informed of the decision regarding a suspension with the underlying reasons in writing..

Products within the scope of the suspended certificate may no longer be put into service on the basis of the certificate.

The suspension will be withdrawn if the cause of the suspension has been resolved within the suspension term. The certificate holder will be informed of the withdrawn of the suspension in writing.

Publicity in relation to the suspension of a certificate is described in chapter 10.

7.3 Withdrawal of the certificate

The certificate will be withdrawn, for example, if:

- the correcting actions as a result of the suspension have not been resolved;
- the Directives and/or standards have been changed and the product does not meet these new requirements;
- the certificate holder voluntary requests this in writing;
- the certificate holder, after mediation, does not meet its financial obligations to Liftinstituut.

The certificate holder is informed of the decision regarding a withdrawal along with the underlying reasons in writing.

Products falling within the scope of the withdrawn certificate may no longer be put into service on the basis of the certificate.

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Publicity in relation to the withdrawal of a certificate is described in chapter 10.

7.4 Validity term of a certificate

The validity term or expiry date of a certificate may be stated on the certificate or in the accompanying report respecting legal or normative regulations.

The certificate loses its validity if:

- changes are made to the product;
- the certificate is suspended;
- the certificate is withdrawn.

7.5 Use of certification mark

The client may only use the certification mark of Liftinstituut on the certified product, product label or package, on the basis of a valid certificate. The client is not permitted to use the accreditation mark of the accreditation body in any way.

The certification mark of Liftinstituut may only be used in communication media such as documents, brochures or advertising etc. on the basis of a valid certificate in such a manner, that a clear reference is made to the certified product.

7.6 Documentation

Liftinstituut archive the following documents after the certification:

- the technical documentation related to the certification;
- implemented change(s);
- the inspection reports and the reports of any certification visit(s) carried out by Liftinstituut.

For certifications projects the retention period is at least fifteen years after the certification date.

8. Changes

8.1 Changes made by certificate holder / manufacturer

The certificate holder has to inform Liftinstituut on time of the intention to implement any changes (to the product) and the nature and extent of these changes. On the basis of the information received, Liftinstituut will inform the certificate holder if an additional assessment is necessary.

If an additional assessment is necessary, products with the intended changes may not be put on the market until the additional assessment has been concluded with a positive result.

8.2 Changes made by Liftinstituut

In the case of changes to the requirements, Liftinstituut shall inform the certificate holder as soon as possible of the date on which the changes to the requirement will become binding as well as of the nature, extent and costs of a supplementary assessment.

9. Complaints, objections and appeal

Liftinstituut has separate regulations for reporting complaints, objections and appeals.

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10. Publicity
Liftinstituut publishes on the website www.liftinstituut.com, under ‘DOWNLOADS & INFORMATION → Certificates EU and North America’ information about issued, suspended or withdrawn certificates as far as required by the applicable codes and standards. Further information can be provided on request.

11. Health and safety environment
Clients must ensure that their working environments pose no threats to the health and safety of employees of Liftinstituut while they perform their work. If necessary, clients have to provide specific protective equipment, including the accompanying instructions for use.

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