

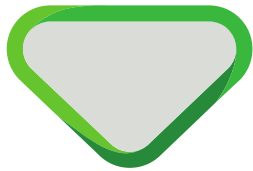
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# Regulation

## Product Certification

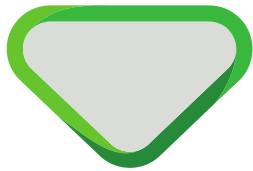
### 2.0.1-NL

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## Regulation Product Certification 2.0.1-NL

### 0 Introduction

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

#### 0.1 Version management

In this version, the references to the Covid 19 period and chapter 5 'Requirements when taking over certification activities from another certification body' have been deleted. The chapter numbering has been changed as a result. Also some textual improvements have been made.

The current version of this document is published on the website of Liftinstituut ([www.liftinstituut.com](http://www.liftinstituut.com)). All previous versions are superseded by this version.

### 1 Area of application

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

### 2 Requirements

#### 2.1 Standards and guidelines for the product

The client's product shall meet the legal and/or normative requirements.

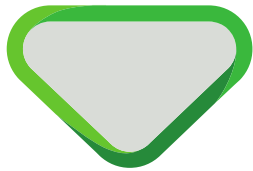
#### 2.2 Standards and guidelines for Liftinstituut

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 activities under the code ASME A17.7 / CSA B44.7:

- 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.
Non-conformity	=	A failure to meet the assessment requirements.
Manufacturer	=	The manufacturer of the product.
Random check/ Surveillance assessment	=	Production control plus supervised product checks at random intervals by Liftinstituut.

### 4 Processing of applications

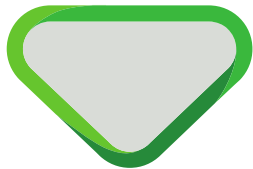
#### 4.1 Quotation and order confirmations

On quotations and order confirmations, the general terms and conditions of supply of Liftinstituut apply. These can be found on the internet site [www.liftinstituut.com](http://www.liftinstituut.com) or will be provided on request.

Liftinstituut:

- is committed to a policy of equal opportunities that forbid discrimination of any kind;
- limits its requirements, assessment, decision making and supervision to aspects specifically related to the applicable certification scheme;
- may decide not to accept an application in the event of unauthorized acts by the applicant, such as participating in illegal activities, repeated non-compliance with the certification / product requirements, or similar issues;
- may reject an application for certification if there is an unacceptable risk of dependency between client / certificate holder / manufacturer and Liftinstituut;
- will not accept the application for certification if:
  - the product to be certified already has a valid certificate, issued by another certification body;
  - the product is offered for certification unchanged after it has been rejected by another certification body;
  - in the last two (2) years Liftinstituut has provided consultancy regarding the development of the product to be certified;
- is not liable for possible damages arising as a result of rejection of the application for certification.

The quotation or order confirmation signed by the client and by Liftinstituut will be conceived as a certification contract.



## 4.2 Responsibilities

### 4.2.1 Liftinstituut

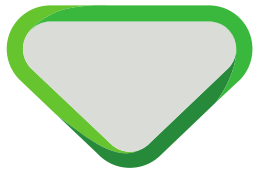
Liftinstituut:

- 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 project;
- will, while a project 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 project confidentially;
- will inform the client / certificate holder if Liftinstituut is legally obliged to submit information it obtains relating to the fulfilment of a certification project to a competent authority, unless this is prohibited by law;
- will supervise the correct use of the certification mark.

### 4.2.2 Client / certificate holder

The client / certificate holder:

- Shall fulfil 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
  - o 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;
  - o investigation of complaints;
  - o the participation of observers, if applicable, during the assessment;
- shall make any reference subject to the product certification, in e.g. communication media such as documents, brochures or advertising, consistent with the scope of certification;
- shall not use its product certification in such a manner as to bring Liftinstituut into disrepute and shall not make any statement regarding its product certification that may be considered misleading or unauthorized;
- shall upon suspension, withdrawal, or termination of certification, discontinue the use of all advertising matter that contains any reference to the certification and takes action as required by the certification scheme 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
  - o takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;
  - o documents the actions taken;
- informs Liftinstituut, without delay, of changes that may affect its ability to conform with the certification requirements.



### 4.3 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;
- 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 Assessment

### 5.1 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.

### 5.2 Types of assessments

The types of assessments are:

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

#### 5.2.1 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 shall submit all relevant information and documentation, describing the product to be certified (the design, including technical drawings, calculations, product specifications and parameters, etc.) as stated in the certification requirements;

➤ **Examination and testing**

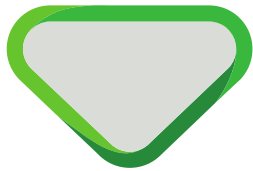
Examination of the product, including testing on-site.

The client shall make available one or, when needed, more representative product(s), subject to the certification contract, for examination and testing.

Liability for damage resulting from testing is expressly rejected.

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

When necessary the product, subject to the certification contract may be tested by a laboratory, with an applicable accreditation scope under ISO/IEC 17025, which shall be part of the order confirmation or on the basis of a separate order.



The client shall:

- allow the team members of Liftinstituut to carry out an examination and testing of the product, give access to documents, data, parameters, etc. necessary for this, and upon request offer assistance where necessary;
- make a person, responsible and appointed by the client, be available during the examination.

*Note:*

*For certain parts of the (re)assessment of products where no physical presence of the assessor(s) of Liftinstituut is required, a remote assessment is possible under the condition that no physical examination and tests are subject of the assessment. It is determined by Liftinstituut on mutual agreement with the client if a remote assessment is possible.*

*The content of a remote assessment shall be equivalent to an assessment on site.*

*The secure remote-infrastructure shall be provided by the client. A remote assessment plan shall be drawn up by Liftinstituut and coordinated with the client before the remote assessment takes place. In the assessment plan the information on the purpose of the assessment, relevant documents, infrastructure and location are described.*

### **5.2.2 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 5.2.1.

See note 5.2.1

### **5.2.3 Random check / Surveillance assessment**

If surveillance is required by the certification scheme, the client shall apply for a random check or surveillance assessment of the product(s) covered by the certificate. The random check / surveillance assessment is an assessment if a randomly chosen sample of the certified product, produced by the manufacturer, still fulfils the requirements.

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

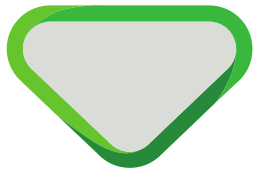
See note 5.2.1

#### **5.2.3.1 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.

#### **5.2.3.2 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 5.3).



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### 5.3 Intervals

The random check must be performed yearly during the certification cycle of five (5) years. The 1<sup>st</sup> random check shall be applied for, before putting the certified product on the market.

The surveillance assessments will be carried out yearly during one certification cycle of three (3) years. The 1<sup>st</sup> surveillance assessment is, according to EN ISO/IEC 17067 system 3, part of the initial certification assessment. If the product is not yet in production at the time of the initial assessment, the 1<sup>st</sup> surveillance assessment must be applied for, before putting the certified product on the market.

It is the responsibility of the certificate holder to comply with the intervals for the random checks and the surveillance assessments.

### 5.4 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 team members;
- the test criteria;
- the type of assessment;
- the dates and locations of the assessment activities;
- any observed non-conformities;
- the general findings;
- the assessment conclusion.

The report remains the property of Liftinstituut.

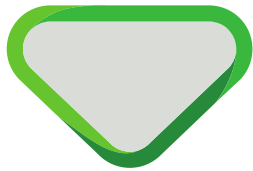
The report may be copied only under the condition of permission of both the certificate holder and Liftinstituut.

### 5.5 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.





## **6 Certificate and certification mark**

### **6.1 Certificate**

The decision on the certification of the product will be processed within 15 working days after receipt of the certification advice of the project manager.

The following decisions can be made:

- granting or refusal of a certificate;
- 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 assessment requirements.

The certificate may have one or more annexes attached.

The certificate remains the property of Liftinstituut.

### **6.2 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 cancelled if the cause of the suspension has been resolved within the suspension term. The certificate holder will be informed of cancelling of the suspension in writing.

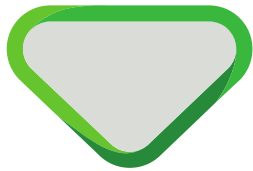
Publicity in relation to the suspension of a certificate is described in chapter 9.

### **6.3 Withdrawal of the certificate**

The certificate can be withdrawn, for example, if:

- the correcting actions as a result of the suspension have not been resolved;
- the certificate holder demonstrably does not meet the certification criteria;
- the Directives and/or standards have been changed and the product does not meet these new requirements;
- the certificate holder requests for withdrawal 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.



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

Publicity in relation to the withdrawal of a certificate is described in chapter 9.

### 6.4 Validity term

The validity term or expiry date of a certificate or a report will be stated on the certificate or in the report.

The certificate loses its validity if:

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

### 6.5 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 of Liftinstituut 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.

### 6.6 Documentation

Liftinstituut archives 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 certification projects the retention period is at least fifteen years after the certification date.

## 7 Changes

### 7.1 Changes made by certificate holder / manufacturer

The certificate holder has to inform Liftinstituut 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.

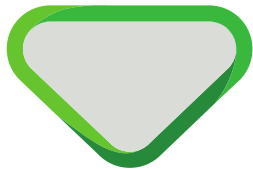
If an additional assessment is necessary, products with the intended changes may not be put into service on the basis of the existing certificate, until the additional assessment has been concluded with a positive result.

### 7.2 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.

## 8 Complaints, objections and appeal

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



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**9 Publicity**

Liftinstituut publishes on the website [www.liftinstituut.com](http://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.

**10 Health and safety environment**

The client 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, the client shall provide specific protective equipment, including the accompanying instructions for use.