RUUV Technical Assessment Body

Certification Scheme CS 001

- Creating a Technical Specification (EAD),
- Issuing an European Technical Assessment (ETA),
  (developed by the European Organisation for Technical Assessment (EOTA)
- Certifying the Constancy of Performance (AVCP)
  (acc. to Regulation (EU) Nr. 305/2011 (CPR))

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1 Scope

1.1 General

This certification program applies to the following services of Stichting RUUV, Hilversum (NL) (hereafter referred to as RUUV).
It has been accepted by the RUUV Board of Experts in which all relevant competences are represented. The Board of Experts supervises all standardization and certification activities and ensures the compliance with applicable standards such as the ISO/IEC 17065 and the Regulation (EU) No 305/2011.

The services are mainly offered for devices, components and systems (hereafter referred to as products) for fire protection which fall under PAC 10 “Fixed firefighting equipment” (acc. to Regulation (EU) No 305/2011) and EOTA Product Area Code 11.06.

For more information on current responsibilities and contacts for certain services or products please call the RUUV Head Office (phone:+31357200150, e-mail: info@ruuv.nl).

1.2 Procedure of issuing an ETA according to the EU Construction Products Regulation (CPR)

In its function as Technical Assessment Body, Product Certification Body and Notified Body, approved by Dutch national law and accredited by RvA, RUUV offers procedures for issuing an EAD and ETA for products that are not or not fully covered by harmonised standards and the assessment and verification of constancy of performance (AVCP) in accordance with the EU-Construction Products Regulation. The AVCP system to be applied for the performance characteristics declared by the client is confirmed by the European Commission when the EAD is issued. (see annex V of the Regulation EU No 305/2011).

The process is comprising of the following major steps:

- determination of the product type on the basis of type testing, type calculation, tabulated values or descriptive documentation of the product
- declaration of essential performance characteristics by the client
- Issuing of the EAD (harmonized technical specification)
- Carry out product testing (evaluation)
- Reviewing all available information (review)
- issuing of ETA (decision)
- first inspection of the manufacturing site and its factory production control (FPC)
- periodical surveillance, assessment and validation of factory production control (FPC)

The steps are described in detail in sections 5,6 and 7

To initiate the process of issuing an EAD and ETA the application form in *Form D* of this document together with the *Agreement of Commercial Secrecy and Confidentiality* (*Form C*) needs to be filled-in by the client. The process is concluded with the ETA, registered by EOTA.

Assessment and verification of constancy of performance within to this process may be applied for by using **Error! Reference source not found.**E (D*eclaration of Manufacturing Site*). The process is concluded with the issuing of the Certificate of Constancy of Performance issued by RUUV.

Note: The ETA is the basis for a Declaration of Performance (DoP) which the manufacturer is required to draw up in accordance with the Construction Products Regulation (CPR) before CE-marking his product. (see www.eota.eu/what-is-an-eta for further detail)

1.3 Product tests

RUUV offers product testing within the scope of the ETA process in cooperation with laboratories accredited according to ISO/IEC 17025 for at least similar technical standards or products (referred to hereafter as “laboratory).

1.4 Validity

These guidelines are valid from 21.08.2024

2 Normative references

These guidelines contain dated and undated references to other regulations. The normative references are cited in the respective clauses, the titles are listed below. For dated references, subsequent amendments to or revisions of any of these regulations apply to these guidelines only when published by revision or amendment of these guidelines. For undated references the latest edition of the regulation referred to applies.

REGULATION (EU) No 305/2011 – Construction Products Regulation (CPR) Harmonised conditions for the marketing of construction products

ISO 9001 – Quality Management Systems - Requirements

ISO/IEC 17000 - Conformity assessment – Vocabulary and general principles

ISO/IEC 17025 - General requirements for the competence of testing and calibration laboratories

ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services

RUUV GTC – General Terms & Conditions

3 Definitions

Client: The client, in terms of ISO/IEC 17065, is a contractual partner of RUUV ordering a service.

Appeal: Demand of a client towards RUUV to review a decision (test result, approval/certification decision).

Manufacturing site: In principle, the manufacturing site is the company ensuring – via quality assurance measures (Quality Plan - QP, Factory Production Control - FPC) – compliance of the product with the appropriate technical specifications on which the EAD assessment and verification of constancy of performance is based. As a rule, the manufacturing site plays the key role in manufacturing/assembling the product, and carries out the final product test. If different companies are responsible for production/assembling and final testing, the manufacturing site shall be the company carrying out the final product test.

Note 1: In this context, the final test is a documented test based on technical parameters and/or containing functional tests. Mostly visual inspections limited to identification and/or quantity tests are no final tests as defined by these guidelines.

Note 2: In the Construction Products Regulation the manufacturing site is also called "factory".

AVCP : Assessment and Verification of Constancy of Performance

Product surveillance: Measures taken by a notified body, e.g. product audits, product retests at the manufacturing sites or in the laboratory in the scope of sampling or market surveillance, for the purpose of ensuring compliance of products covered by an ETA manufactured in series with the appropriate requirements.

System: Devices and components in free combination or defined configuration, as may be used for installations and, in this regard, are appropriately configured for functional compatibility

Factory production control (FPC): FPC is the documented continuous and internal control of production in a factory in accordance with the relevant harmonised technical specifications.

Certification of Constancy of Performance: Procedure resulting in a written confirmation issued by a third party (here: RUUV) stating that the product covered by the ETA (here, component, device, or system) continuously complies with the requirements of the relevant EAD.

EOTA: The European Organisation for Technical Assessment (EOTA) is a Europe-wide association of Technical Assessment Bodies for construction products established under the Construction Products Regulation (CPR).

EAD: A European Assessment Document, or EAD for short, is a harmonised technical specification developed by EOTA as the basis for European Technical Assessments (ETAs). In combination with the ETA, the EAD provides manufacturers with a way to CE marking CE for construction products that are not or not fully covered by a harmonised European standard.

ETA: The European Technical Assessment (ETA) provides an independent Europe-wide procedure for assessing the essential performance characteristics of non-standard construction products. The ETA offers manufacturers a voluntary route to CE marking, when the product is not or not fully covered by a harmonised standard.

Laboratory: Testing facility which is accreditied according to ISO/IEC 17025 for the testing of the performance characteristics stipulated in the EAD or at least (in case of new products and/or prototypes) similar products or characteristics.

4 Application for ETA

4.1 Request for a European Technical Assessment

Upon request for an ETA, RUUV will send this certification scheme including the application form (Form D) which is to be filled in completely. After receiving the filled-in application, RUUV shall figure out which route in the EOTA process will be necessary, resulting in one of the following options:

- The product is already fully covered by an existing hEN: an ETA is not possible, and the application will be aborted.
- There is an EAD in place which can be used to base the ETA on: RUUV send a quotation only for the development of an ETA.
- There is no EAD in place. An EAD needs to be created, RUUV sends a quotation for developing an ETA including the EAD.

Together, this *Certification Scheme*, the RUUV *General Terms and Conditions* (GTC) and the *Agreement of Commercial Secrecy and Confidentiality* form the Certification Agreement.

By signing the application form (Form D), the client declares to comply with the following:

a) the client always fulfils the certification requirements, including implementing appropriate changes when they are communicated by the certification body

b) if the certification applies to ongoing production, the certified product continues to fulfil the product requirements

c) the client makes all necessary arrangements for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;

1) the conduct of the evaluation (see 3.3) and surveillance (if required), including provision for

2) investigation of complaints;

3) the participation of observers, if applicable;

d) the client makes claims regarding certification consistent with the scope of certification (see 3.10);

e) the client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorized;

f) upon suspension, withdrawal, or termination of certification, the client discontinues 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;

g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;

h) in making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme;

i) the client 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; NOTE See also ISO/IEC 17030, ISO/IEC Guide 23 and ISO Guide 27.

j) the client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and affect compliance with the requirements for certification;

1) takes appropriate action with respect to such complaints and any deficiencies found in products that

2) documents the actions taken; NOTE Verification of item j) by the certification body can be specified in the certification scheme.

k) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements. NOTE Examples of changes can include the following: the legal, commercial, organizational status or ownership, organization and management (e.g. key managerial, decision-making or technical staff), modifications to the product or the production method, contact address and production sites, major changes to the quality management system.

4.2 Contract with RUUV

To commission procedures in accordance with this Certification Scheme, a fully completed application (**Error! Reference source not found.**, E (or F in case of changes to an existing EAD) must be submitted (in accordance with RUUV General Terms and Conditions) by e-mail.

The client receives an order confirmation

At the same time, the technical documentation belonging to the order (see 0A) must be submitted to RUUV. Within the scope of a preliminary review of this technical documentation, it is checked whether all documents and information required for the ETA process are available. It will also be checked whether all documents and information required for the later certification of constancy of performance are available.

If there is already an EAD available, development of the ETA can start at this point.

When an EAD needs to be developed, work on the first draft will commence, see also section 5.1 and 5.2.

Applications are handled in the order of their receipt, if organisationally and technically possible.

4.3 Potential clients

Note: ETAs specify the applicant/client as the company placing the product onto the market (manufacturer according to Construction Products Regulation).

ETAs may be applied for:

… by any manufacturer, 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. You can also request and ETA if you have been mandated by a manufacturer to act as his authorised representative and are established in the Union.

... by another company (distributor), but only under the following conditions:

1) RUUV has already issued an ETA for the product (so-called base certificate) and the product is manufactured in the same way for the distributor (cross listing), or

2) the product is manufactured by the manufacturing site by order of the distributor.

In case 1 the application shall include an informal declaration of consent and delivery promise by the holder of the base ETA, accompanied by the following information:

- original product and type designation
- designated distributor
- intended product and type designation

The distributor receives the so-called parallel ETA. Based on this parallel ETA, no further parallel ETAs shall be issued. Any parallel ETA shall be based on the base ETA.

In case 2 b) the manufacturing site shall supplement the application by Form E.

5 EAD Development

5.1 Work program

In general, the entire process for developing an EAD or ETA has been established by EOTA. RUUV will guide their clients through this process.

When the Technical Documentation according to Annex A has been received, RUUV will, together with the manufacturer, fill in the initial work and assessment program (T04) as mandatory within EOTA. Once both parties agree, the initial work and assessment program will be sent to all TABs in the relevant product area for consultation. By doing so, the ETA request will be registered with EOTA. The consultation has a fixed duration of 1 month.

Based on the outcome of the consultation, changes might need to be made based on feedback from other TABs. If not, or when changes have been made and accepted by EOTA, the final work program can be sent to EOTA. This may be repeated max. 3 times.

5.2 Draft European Assessment Document (EAD)

After the final work program has been decided on, the first version of the EAD will be drafted. Several drafts (v1, v2) can be made and sent to EOTA for consultation. The first consultation has a fixed duration of 30 days, every next one a duration of 14 days, in which all TABs are able to comment.

5.3 Review / Changes to the EAD by the customer

The final EAD is agreed in the responsible EOTA working group. RUUV then formally submits it to the manufacturer for final comments. Finally, the draft is adopted by EOTA's Technical Board and submitted for official observations to the European Commission (EC). If no comments are received within 15 working days or once the comments received have been handled, the EAD is considered adopted by EC. This version called Adopted EAD forms the basis for the drafting of the ETA.

5.4 Final Publication of the EAD

The EAD will be published on the EOTA website and made publicly available. Drafting of the ETA can start when it is adopted by EC and does not have to wait for publication of the EAD.

6 ETA Development

6.1 Product evaluation / testing

Following the stipulations of the EAD, the performances of the essential characteristics of the product are tested.

The European Assessment Document (EAD) is laying down all the necessary methods and criteria for the assessment of the product characteristics at the time of adoption, whereas the ETA, as a matter of principle, contains the documented result(s) of the assessment(s) performed on the product according to the EAD. Nevertheless, the ETA is addressing the product and can detail more specific technical conditions that were applied when determining a performance and that are influencing a performance of that product (production parameters or preservation can also be influencing).

RUUV selects and approves a laboratory by verifying that the lab can provide the proof that it is independent and capable of testing (competence, equipment, traceability, accuracy) in compliance with the requirements of ISO 17025. The client then places the order at the selected laboratory directly and is charged for the test by the laboratory itself.

In case there is already a test report existing, RUUV evaluates, whether the issuing laboratory fulfils the requirements as stipulated above and whether the tests cover all requirements of the EAD. If deviations are found, additional testing or a full new test is necessary.

Laboratories of manufacturers, even if accredited, cannot be assumed independent. In case testing in these labs is to be accepted, a signed contract needs to be concluded and the testing needs to be witnessed by RUUV or another independent notified body on behalf of RUUV.

The client makes all arrangements for the test procedure that are necessary on his part, in particular provides fully functional test samples, supplies and all necessary technical documentation.

Generally, the test is applied on fully developed products that are already available as prototypes or serial products.

The test in general has to be executed in accordance with the approved EAD and a positive test report must be available before the issuing of a draft ETA.

The main test may also be carried out using prototypes. In this case the test report is annotated accordingly.

If during the test phase modifications of the product are planned or carried out that may have an influence on test scope and process, RUUV shall be informed thereof immediately.

After the tests have been carried out, the laboratory provides the test report to the client. RUUV receives a copy of the test report from the client that adequately documents the tests. If non-conformities were identified during the testing, they are handled acc. to 9.4

6.2 Review / Draft ETA

RUUV reviews all existing documents/test reports and decide about creating a first draft of the ETA (T07). The Draft ETA will be sent to all relevant TABs for comments and the client. The comment period for the first draft is 30 days. For all following drafts the comment period is 14 days.

6.3 Decision / Final ETA

After all comments have been resolved, RUUV informs EOTA about the issuing of the final ETA. EOTA is publishing the ETA reference in the public database and announces the EAD on the EOTA Website.

The granting of a ETA does not entitle the holder to use the RUUV logo.

6.4 Modification of ETA

A new version of an ETA may be necessary in case of changes in the general and/or specific part, namely as regards an extension of the scope and/or modification(s) and/or technical correction(s).

Amendments may concern also the addition/change of a manufacturing plant(s), the change of the legal name of the ETA holder and/or the trade name of the product; in the case of manufacturing plant(s)

Modifications of the ETA may be applied for using Form F (if required, supplemented by Form E). The modification could require all necessary process steps (6.1 to 6.3) before issuing the revised ETA. If applicable, RUUV will determine whether product tests are required. Furthermore, an additional inspection of the manufacturing site and/or FPC may be necessary.

6.5 Reproduction of ETA

A Reproduction of a European Technical Assessment is a new ETA. It permits to replace the name of the manufacturer and/or the trade name(s) of the construction product(s) as covered by the original European Technical Assessment and/or the identification of the manufacturing plant(s) by the name of another manufacturer and/or by another trade name of the product, linked, where relevant, with the indication of (an)other manufacturing plant(s). A Reproduction will always get a unique ETA number.

A Reproduction of an ETA is only possible when agreed by the holder of the original ETA. A Reproduction in case of a change of the manufacturing plant is only allowed if the manufacturer’s production process and FPC leads to products with performances that are the same as those in the original ETA. A Reproduction may also cover only a part of the products of the original ETA.

A Reproduction can also be asked from the ETA holder of the original ETA: It can happen that, for commercial reasons, a manufacturer wants to have two ETAs for the same product presenting it on the market with two (or more) different trade names. In this case the issuing TAB should ask the manufacturer for a confirmation of the equivalence of the products to be covered by the two ETAs.

A Reproduction of an ETA may be applied for using Form F (if required, supplemented by Form E)

6.6 Withdrawal of an issued ETA

For different reasons, a manufacturer may wish not to make use any more of his ETA and, thus, to have it withdrawn from the publicly visible part of EOTA's ETA database.

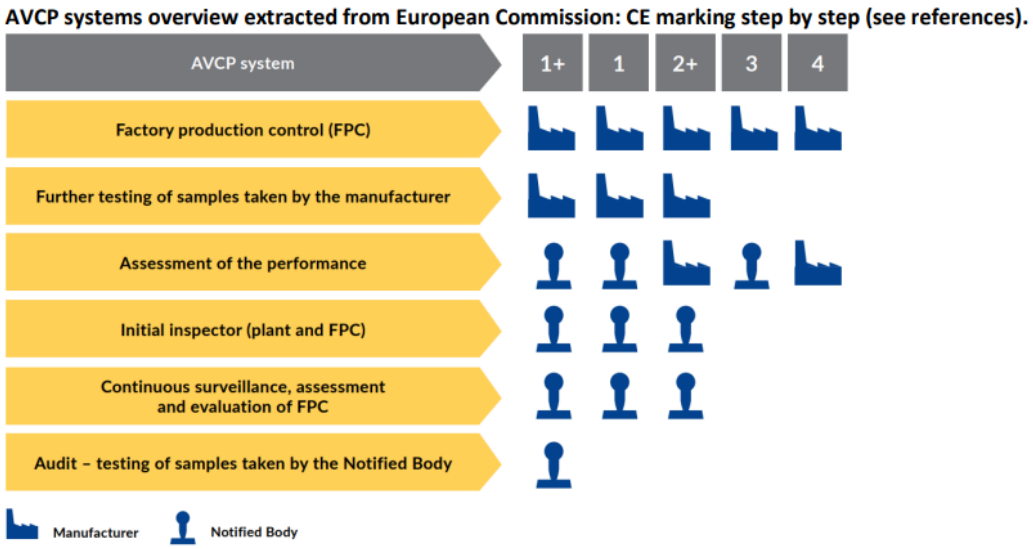
In such a case, the TAB having issued the ETA needs to get the written agreement of the manufacturer to have this ETA been dealt with this way, and will then inform EOTA accordingly. This shall especially be done in case a TAB issues a new ETA replacing an ETA issued before by another TAB.

7 AVCP Process / Factory Production Surveillance

7.1 General

The client together with RUUV makes a proposal about the AVCP system that shall be applied to the declared essential characteristics. (See T04, Section 8). This proposal is confirmed by the European Commission.

Overview of systems within the AVCP



In case the Systems 1+, 1 or 2+ are to be applied, the Product Surveillance consists of an initial inspection of the manufacturing site followed by a continuous surveillance of the FPC, usually once a year.

The execution of the AVCP system is the responsibility of the client and RUUV acting as notified body. The Product Surveillance is mandatory for the continuous autorisation to apply the CE Mark on the client's product.

7.2 Requirements for the manufacturing site

The manufacturing site shall fulfil all technical and personal requirements for adequate product manufacturing.

The manufacturing site shall set up a system of factory production control (FPC) ensuring that the products have consistent characteristics and design. Factory production control means continuous surveillance and control of the manufacturing process carried out by the manufacturer thus ensuring that the products comply with the underlying technical specifications on a continuing basis.

The requirements for factory production control (FPC) are specified in the EAD on which the ETA is based.

Note: Certificates of constancy of performance specify the manufacturing site as production plant. By request of the client and by agreement with RUUV this may be done in coded form.

7.3 First inspection of manufacturing site and FPC

The client permits RUUV and/or subcontractors to inspect the respective manufacturing site and the efficiency of its FPC by agreement with the client, even before the ETA is granted.

7.4 Sampling

The test specimens for determining the product type are always taken by RUUV or it's delegates. This can be done, for example, during the initial assessment of the production facility and the FPC. The samples shall be representative of current production.

If series production has not yet been established in the production facility, the process of assessment and verification of constancy of performance allows the determination of the product type on the basis of prototypes provided by the manufacturer.

The samples shall be representative of future production

7.5 Surveillance of the FPC

Following the issuing of the ETA, the client permits RUUV to inspect the efficiency of the FPC of the respective manufacturing site on a regular basis by agreement with the client.

The minimum requirements for the scope and frequency of the surveillance are documented in the EAD (T06, Section 3) on which the ETA is based.

The time limit for remedying any deficiencies found during surveillance is fixed by RUUV according to the extent and type of deficiencies and manufacture. However, the time limit shall, as a general rule, not exceed 1 month.

In the event of a significant non-compliance RUUV may fix a special unscheduled surveillance. At the same time, samples may be taken, the type and extent of which are fixed by RUUV. The time limit for remedying any deficiencies found during the special surveillance is fixed by RUUV according to extent and type of deficiencies and manufacture. However, the time limit shall, as a rule, not exceed 3 months.

7.6 Issuing of the Certificate of Constancy of Performance (CCP)

If the requirements in the manufacturing site are fulfilled, proven by an audit report with positive result, the client will receive a *Certificate of Constancy of Performance (CCP)*. The certificate has no fixed validity period.

Note: The Certificate is valid as long as the regulations of the applicable EAD or the production conditions on site or the factory production control (FPC) have not been modified considerably. Any parallel certificates automatically become invalid when the respective base certificate becomes invalid.

Unless otherwise specified by the client, the certificate is issued in English.

RUUV shall provide information, upon request, about the validity of a given CCP certification.

7.7 Modification of the CCP

Modifications of the CCP may be applied for using Form F (if required, supplemented by Form E). If applicable, RUUV will determine whether product tests are required. Furthermore,an additional inspection of the manufacturing site and/or FPC may be necessary

7.8 Suspension/Revocation of a CCP

Certificates of constancy of performance can be rendered temporarily invalid by suspension, or permanently invalid by revocation. RUUV will decide whether certificates of constancy of performance are suspended or revoked if one or several of the circumstances below occur. A suspension of a CCP of performance includes a deadline of 6 months maximum for appropriate remedy. If within this period of time appropriate measures for remedying the cause are evidenced in writing or during a re-audit or by implied action, the certificate of constancy of performance will be re-instated. Otherwise it will be revoked.

The holder of a certificate of constancy of performance is informed of a suspension/revocation in writing. Within a period of two months, an appeal against the suspension/revocation may be filed (see section 8). Any action taken to verify remedy measures and the reinstating of the certificate of constancy of performance are liable to costs.

During the suspension period and from the date of revocation the certificate of constancy of performance shall no longer be used.

Suspension/revocation may be effected if:

- the harmonised technical specification(s) (EAD) underlying the certificate of constancy of performance is (are) modified and the product is not modified within an adequate period of time and, if required, resubmitted for re-testing.
- the harmonised technical specification(s) underlying the certificate of constancy of performance (EAD) is (are) modified and the FPC is not modified within an adequate period of time.
- the certified product is no longer manufactured or supplied.
- the certified product is no longer manufactured at the notified manufacturing site.
- the product marketed as certified does no longer comply with the certified version.
- the FPC of the manufacturing site does no longer fulfil the requirements of the certification basis.
- the client does not meet the specified time limits for remedying the deficiencies.
- the results of the surveillance (see section 7.5) are negative.
- the client does not fulfil the obligations he has according to these guidelines (e.g. payment of fees).

RUUV reserves the right to inform the competent authorities of a suspension/revocation and to publish the information in accordance with the authorities' regulations (e.g. on the RUUV website).

In case the client does not react to the suspension/revocation of the CCP by no longer selling products with the CE marking in combination with the Registation Number of RUUV as a Notified Body applied to his products. If an infringement of that provision is established, RUUV shall impose on the manufacturer an immediately payable fine of 5.000 €, as well as a fine of max. 500 € for each day that the mentioned infringement continues.

8 Procedural principles

8.1 General Terms and Conditions

The RUUV General Terms and Conditions shall apply in the version valid at the time of conclusion of the contract.

8.2 Confidentiality

Any documents received and information gained by RUUV or the laboratory during procedures carried out in accordance with this schem guidelines will be treated as strictly confidential. Without prior written consent of the client, the documents shall not be made accessible to third parties. The Agreement of Commercial Secrecy and Confidentiality (Form C) needs to be signed by both contractual partners before entering into the contract.

8.3 Enquiries by third parties

RUUV shall answer enquiries merely by saying whether products are covered by an EAD/ETA issued by RUUV or not and refer to the EOTA databse.

8.4 Publications

RUUV does not publish data regarding EADs or ETAs. Or CCPs. There will be information published by EOTA in their online database of issued ETA's and EAD's.

8.5 Use of RUUV Logo and Mark

The RUUV logo appears on ETA and CCP Documents.

The RUUV logo may be reproduced only as part of a full copy of the ETA or the Certificate of Constancy of Performance (CCP). The client acquires no rights or ownership to use the RUUV name or logo on advertisements or certified products. Incorrect or incomplete references to documents bearing the RUUV logo or indications that product quality is controlled by RUUV, may lead to suspension or withdrawal of the CCP.

8.6 Costs

The ETA application, testing and certification services of RUUV are chargeable and are not subsidised. If no EAD exists, RUUV will assist in developing an EAD for no extra fee. It is developed as part of the ETA procedure where required. The cost is born by EOTA and its members and co-financed through EU grants. RUUV provides quotations about the cost of its services.

8.7 Hazards from DUTs or associated products or equipment

The client is obliged to avoid as far as possible and, if unavoidable, to keep as low as possible the hazards to persons, objects or equipment caused by test objects or related products or equipment.

If such hazards must be assumed, the client is obliged to complete and submit **Error! Reference source not found.**.

Notwithstanding this, depending on the type of hazard, these shall be made clear on the test item itself or on the associated product or equipment or highlighted in the accompanying documents. Furthermore, the client is obliged in these cases to enclose corresponding safety data sheets, operating instructions and the like, if necessary.

Note: Hazards can arise from (exemplary list without claim to completeness):

- *lithium-ion batteries*
- *highly flammable substances*
- *explosive substances*
- *toxic substances*
- *carcinogenic substances*
- *generation of above-average sound levels*
- *high electrical voltage or mechanical tension*
- *lack of protection against contact*
- *cutting, crushing and bruising hazards*
- *strong magnets*

RUUV reserves the right to reject orders on the basis of the hazards posed by DUT or associated products or equipment.

8.8 Information about changes

RUUV informs all its clients that hold a valid CCP about changes in the procedure of product surveillance (for example: audit scopes, product sampling, rules regarding deficiencies). The information is provided by distributing the actual version of this document (CS 001) by Email.

9 Objections

9.1 General

Appeals and complaints (see ISO/IEC 17000, 8.6 / 8.7) are subsumed under the umbrella term "objections". While an *appeal* is directed against a conformity decision by RUUV within the scope of a certification or testing procedure, a *complaint* deals with general criticism of processes or specifications of RUUV.

9.2 Appeals regarding a testing/certification result

Appeals shall be submitted to RUUV in writing with reference to this Certification Scheme. The letter shall include the following information:

- contact data of appellant, EAD/ETA reference.
- date, person responsible, and date of the letter informing the client about the results objected to
- detailed list of the results objected to
- reasons for the appeal

The letter of appeal shall be sent to the management of RUUV, who will verify the appeals. The appellant shall receive a written confirmation within 5 working days, that RUUV has understood the background of the appeal and is responsible to take a decision about it.

If the appeal is found to be justified, the relevant testing/certification procedure shall be repeated, either in full or in part. In this case, the costs of the repeated testing/certification procedure shall be borne by RUUV.

If the appeal is found to be unjustified, the costs of the appeals procedure shall be borne by the client. If RUUV and the client do not come to an agreement, the final decision about the appeal remains with RUUV. Only appeals against the rejection of an objection by RUUV can still be lodged.

9.3 Complaints concerning general performance of RUUV

If a complaint is raised against the processes performed by RUUV, this shall be done in writing, addressing the management of RUUV.

The complainant receives a confirmation, that his complaint has been received and understood.

RUUV takes a decision, wether the the complaint is classified valid or invalid and informs the complainant about its decision within 14 days.

In case the complainant is not willing to accept RUUVs decision, the dispute may be resolved by a settlement involving independent, impartial third parties.

9.4 Handling of non-conformities

Throughout the whole process non-conformities may be recognized. These non-conformities may result from:

- Missing or incorrect information supplied by the client
- Comments raised by the group of relevant TABs
- Non conformities of the product found during the evaluation
- Non conformities found during the evaluation of the FPC (AVCP process)

In any case the client is immediately informed about the non-conformity found. RUUV co-ordinates with the client the necessary consequences. Consequences may include but are not limited to:

- Provide missing informations
- React to group of relevant TABs comments by modifications of the content of the EAD/ETA
- Replace or modify product samples for evaluation, followed by additional evaluation tasks to verify that nonconformities have been corrected
- Decision to abort the process
- Corrective Actions to correct non-conformities found during the product surveillance audit

10 Forms:

List of Forms:

Form A	Hazardous substances
Form C	Agreement of commercial secrecy and confidentiality
Form D	Application form ETA
Form E	Declaration of manufacturing site
Form F	Notification of change

Forms A, D, E, F will be provided by RUUV either upon request or downloadable from the RUUV Website www.ruuv.nl.

Form C will be prepared by RUUV and provided for signature.

Annex A - Technical documentation

A.1 Devices and components

The manufacturer shall draw up and maintain documentation for the product.

This documentation shall include:

- dimensioned drawings
- parts lists
- data sheets
- mounting diagrams (if applicable)
- layout plans of the circuit boards (if applicable)
- block diagrams (if applicable)
- function descriptions and
- description of the software (if applicable)

in such a comprehensiveness that allows RUUV to confirm whether the product is fully or partially compliant with a harmonised specification or an existing EAD and allows clear identification of the product itself and later testing of compliance with the requirements of the EAD.

Furthermore, the manufacturer shall provide

- a general description of the product including a list of all characteristics and functions
- a technical description including
  - installation information with mounting instructions
  - wiring and setting instructions
  - operating instructions
  - maintenance instructions
  - instructions for routine tests (if applicable)

The user documentation shall be submitted in English.

A.2 Systems

The documentation shall include the following, where applicable:

- system description (general description of the system, its characteristics and functions)
- list of system components and devices;
- diagram(s) of typical system configuration;

If the system also comprises devices and components approved merely by their specification in the system, such devices and components shall also be documented in accordance with A.1.

A.3 General

Any documents submitted shall be listed (see example in Table 1). The list including date, and, if applicable, update status and revision status, shall include the following information:

- document designation
- document or drawing number

- update status or revision status
- release date
- number of pages of document

Technical documentation shall be clearly identifiable and approved by the client and shall be subjected to a revision management.

The listing as well as the technical documents themselves are preferably to be submitted in electronic form. For this purpose, RUUV can provide secured options (e.g. password-protected file sharing service or similar).

Type of document	**Document no**	**Release date**	**Revision date**	**Number of pages**	**remark**
Circuit diagram	A37-B03_Rev2	20.01.2013	Rev2	12	

Table 1: Example for the list of required documents