



Institut für Brandschutztechnik  
und Sicherheitsforschung

QM - Form

# Certification programme<sup>©</sup>

GENERAL

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## Foreword

This general certification programme applied in conjunction with other product-specific certification programmes shall form the basis of certification of construction products by the certification body IBS. If the requirements of the respective harmonised technical specification (harmonised standard or European technical assessment) and the requirements of the general and product-specific certification programmes are fulfilled, the applicant shall receive the Certificate of Constancy of Performance by the certification body, which forms the basis for issuing the Declaration of Performance and the CE marking.

The overall objective of the certification is to reassure all parties that a product satisfies the requirements set down by laws and the respective harmonised technical specification.

For the documentation of impartiality and competence, IBS holds accreditations according to EN ISO/IEC 17025, EN ISO/IEC 17020 and EN ISO/IEC 17065 issued by the Austrian Federal Ministry of Economy, Family and Youth. IBS is further notified by the EU Commission. The IBS Certification Body seeks to ensure the satisfaction of all parties involved by offering reliable certification services.

## The route to CE marking

(System 1 for the assessment and verification of constancy of performance)





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## **1. Field of application**

This general certification programme specifies the basic requirements and rules for the certification process.

The requirements for each construction product are listed in the related product-specific certification programme.

## **2. Normative references**

The normative references of the certifications can be taken from the respective product-specific certification programmes.

## **3. Product requirements**

The requirements of each construction product are described in the product-specific certification programme and defined in detail in the corresponding harmonised technical specification (harmonised standard or European technical assessment).

## **4. Certification**

### **4.1. General**

The product type is determined on the basis of type testing and/or type calculation, tabulated values or descriptive documentation of the product by the certification body and shall form the basis for certification.

If modifications or changes are to be made to a certified product that could affect any of the product characteristics declared according to the underlying standard requirements, then the product shall be subject to supplementary tests. The type and scope of supplementary testing shall be determined on a case-by-case basis by the certification body and the responsible of the certification body.

### **4.2. Application for certification**

Information on the “certification of construction products” can be obtained from the IBS certification body. The applicant is provided with the certification request form, the general and product-specific certification programme and the scale of fees after prior written notice of intent (e.g. per email).



The applicant (manufacturer) shall submit the following documents to the certification body:

- Duly completed and signed certification request form<sup>1)</sup>
- Evidence of the lawful exercise of trade<sup>1)</sup>
- Informative description of the construction product to be certified including the processing specifications, installation and operating instructions, maintenance rules, drawings and materials list<sup>2)</sup>
- Results of already performed type tests recorded in test and classification reports and in other documents in accordance with the product-specific certification programme<sup>2), 3)</sup>
- Data sheet (part of the appendix for the certificate of constancy of performance)<sup>2)</sup>
- Documented factory production control (FPC) procedure<sup>2)</sup>
- Table of contents including title, date and number of pages of each document<sup>2)</sup>

#### Simplified procedure for licensee (cascading)

If the manufacturer is also the licensee, it shall be possible in accordance with Article 36(c) of the Construction Products Regulation (CPR) to replace the type testing or type calculation by an adequate technical documentation. A written licensing agreement shall be concluded between the licensee and the licensor, and the licensee's staff is to be instructed accordingly. It shall be the responsibility of the licensee to place the products on the market.

The appropriate technical documentation must contain the documents listed in the product-specific certification programme and shall be stored by the licensee.

The licensee shall submit the following documents to the IBS certification body:

- Duly completed and signed certification request form<sup>1)</sup>
- Evidence of the lawful exercise of trade<sup>1)</sup>
- Test report(s) of the licensor on the product to be certified<sup>1),4)</sup>
- Licensing agreement about the product to be certified
- Licensor's certificates of training<sup>1)</sup>
- Documented factory production control (FPC) procedure<sup>1)</sup>

1) in electronic form

2) in electronic and paper form

3) Test and classification reports shall be submitted upon request from the certification body and on the initiative of the customer directly by the respective testing laboratory.

4) if not available at the certification body



### **4.3. Application assessment**

As a part of the application assessment, the submitted documentation and the information on the application form shall be checked by the certification body for completeness and plausibility. It shall also be examined if the requested certification can be carried out by the IBS certification body. Should it be determined in the assessment of the application that the characteristics needed for the requested certification are not given, then the application will be rejected.

### **4.4. Certification and surveillance agreement**

The certification and surveillance agreement shall form the conclusion of contract which means that a legally enforceable agreement for certification is being made between the certification body and the applicant. The rights and obligations of both parties are considered in the certification and surveillance agreement.

### **4.5. Initial type testing**

All declared characteristics of a construction product shall be assessed and verified in an initial type test (inclusive sampling) and/or type calculation and/or by tabulated values and/or descriptive documentation of the product in accordance with the respective harmonised technical specification. The determination of the product type identifies the practical suitability of construction products.

The determination of the product type is based on the Construction Products Regulation (Appendix V) and is performed by the IBS certification body, whereas test and classification reports from other accredited and notified bodies can also be applied. The assignment of type testing and type calculations by the IBS certification body to acknowledged bodies shall be possible on a subcontracting basis.

Licensees need no test reports of their own as they can use the test reports of the licensor.

### **4.6. Factory production control**

The manufacturer is responsible for the implementation, documentation and maintenance of the factory production control and must ensure that the products placed on the market feature the specified essential characteristics.

The factory production control performed in accordance with the respective harmonised technical specification covers the continuous surveillance of the manufacturing process by the manufacturer, who shall ensure the compliance of the manufactured products with the specified requirements.

In this context, it should be noted that

- the staff involved in the manufacturing and testing processes shall be trained.
- incoming products/materials shall be controlled and documented.
- appropriate means of production and testing equipment shall be available in order to ensure that the manufactured products are compliant with the test report(s).
- the means of production and testing equipment shall be tested for accuracy on a regular basis and maintained in compliance with the documented procedures of the manufacturer.
- documented processes shall be carried out in accordance with the documented procedures of the manufacturer.
- working documents shall be available to ensure the manufacturing of products which are compliant with the test report(s).
- a best practise shall be available on how to deal with con-conforming building components or products.
- a best practise shall be available on how to prevent errors and non-conformity.
- the traceability of individual products shall be guaranteed.
- the products shall be properly identified and marked.

Records shall be retained of the factory production control (FPC) for at least 10 years, but expediently only for the period equivalent to the lifetime of the construction product.

#### **4.7. Evaluation**

The evaluation of test reports and provided evidence shall be carried out by an expert of IBS, or in exceptional cases by another accredited body with the help of the respective evaluation plan. By means of the provided evidence, the processor shall check and evaluate if the product complies with the requirements of the respective harmonised technical specification.

Should it, in the course of evaluation, be determined that the evidence is insufficient, then the missing documents must be submitted to the certification body.

Should the customer no longer be interested in continuing the certification process due to an unsatisfying evaluation result, then the certification process shall be terminated.

All documentation shall be submitted to the customer. The account must be balanced for all expenses incurred by that date.

If a customer is interested in continuing the certification process, then the certification body shall provide all information so that the customer can submit the appropriate documents. All documents shall then be assessed anew.

The results of all evaluation activities shall be documented. All submitted documents shall become the property of the certification body.





The appropriate technical documentation of the licensee shall be verified and evaluated by the IBS certification body at the initial inspection and continuous surveillance.

#### **4.8. Assessment**

Once the evaluation results are available, they shall be assessed by the certification body with respect to their completeness and plausibility.

#### **4.9. Assessment of factory product control**

Following the assessment, the initial inspection shall be carried out.

In the course of the initial inspection, the certification body shall examine the manufacturing plant, and the customer shall provide evidence that the factory production control is performed, documented, implemented and maintained in accordance with the respective harmonised technical specifications.

All assessments and their results shall be documented in a separate inspection report.

The assessment of the factory product control shall be made on the basis of the results of the inspections in accordance with the criteria arising from the respective product-specific certification programme.

#### **4.10. Certification decision**

The certification decision is made by the authorised signatory of the certification body based on information from the evaluation and its assessment. In case of a positive decision, a certificate of constancy of performance shall be issued.

If the certification decision is negative, the customer shall be informed of the reason thereof in a written statement. Should the customer be interested in continuing the certification process, then the prerequisites must be given for the resumption of the certification process.

Should the certification process be delayed for a reasonable period of time through fault of the customer, then the certification process shall be interrupted. All documentation shall be submitted to the customer. The account must be balanced for all expenses incurred by that date.



#### **4.11. Certificate documentation (Certificate of Constancy of Performance)**

The certification body shall issue a duly signed certificate of constancy of performance following a positive decision of certification.

Reference shall be made to Appendix ZA of the respective harmonised standard and the European Assessment Document concerning the assessment and verification of the constancy of performance of construction products.

Manufacturers holding a certificate of constancy of performance are entitled and obliged to make a declaration of performance and to affix the CE marking to their products.

The certificates and the certification logo issued are the property of IBS. The validity of the certificate of constancy of performance is given for as long as the respective harmonised technical specification and the conditions for the manufacturing of the construction products remain unchanged. The certificate of constancy of performance shall lose its validity in so far as a new, modified certificate has been issued for the same construction product.

#### **4.12. List of products certified by IBS**

Upon request, IBS shall submit a list of certified products. This list provides information allowing for an identification of the product, the customer and the current status of the certificate of constancy of performance.

### **5. Other publications**

The customer shall be allowed to use the IBS logo on documents intended for publication (e.g. company brochures, company homepage), if the certified product is mentioned and if the certification is valid. Further details are governed in the certification and surveillance agreement between the customer and the certification body.

If certification documents are forwarded to third parties, then they must be duplicated as a whole.

### **6. Surveillance**

A key component of the certification is the continuous surveillance and documentation of the manufacturing of the certified product by the customer in form of factory production control. The continuous surveillance of the factory production control and the evaluation of the factory plant shall be performed by the inspectors of the certification body on a regular basis. If required, provision shall also be made for an extraordinary surveillance or a repetition of the surveillance by IBS.

All surveillances and their results shall be documented in a separate inspection report.

## **7. Amendments affecting the certification**

Examples of amendments that might affect the certification

- Amendments or additions to the certified product
- Amendments or additions in the production process
- Company reorganisation
- Change of company name or address
- Closure of existing factory plants
- New factory plants
- Insolvency
- Amendments or additions to the certification programme
- Essential changes to the management system of the certification body
- Publication of a new issue of a harmonised standard

Basically, a distinction must be made between changes prompted by the customer or by the certification body.

Should amendments be initiated by the certification body, then all customers concerned shall be informed. Amendments implemented by the customer shall be verified by the certification body.

The customer shall without delay and unrequested inform the certification body in writing about any change that might affect the type and scope of certification. The certification body shall examine the amendments and determine the necessary measures. The measures can constitute a renewed or a supplement type testing, type calculation or the provision of appropriate documents.

The customer shall be properly informed of the measures and a time-limit shall be set for their implementation. The customer shall report the implementation of the measures to the certification body, which will then carry out appropriate tests of the implemented measure. If necessary, a new evaluation, assessment, certification decision and certification documentation shall be undertaken.

If the measures are implemented properly, the existing certification will be amended and the modified certificate of constancy of performance will be submitted.

## **8. Termination, restriction, suspension or withdrawal of certification**

Should the certification body become aware of the non-conformity of an existing certification, then the certification body shall determine if this shall result in a restriction, suspension, withdrawal or termination of the certificate.

Examples of non-conformity:

- Failure to comply with the certification and surveillance agreement
- Failure to comply with the certification programme
- Inappropriate use of the certificate of constancy of performance
- Deviations detected by the inspectors in the course of surveillance
- A surveillance cannot be performed for reasons which are the fault of the customer
- If a petition for opening bankruptcy proceedings over the customer is made or if his application for bankruptcy proceedings is rejected due to a lack of assets
- Judicial or administrative prohibition of the certification
- Cancellation of the certification and surveillance agreement by the customer

Terminations, restrictions, suspensions or withdrawals of certifications shall be listed in the public list of certifications to be found on the IBS homepage.

In case of a termination, restriction, suspension or withdrawal of a certification, the customer shall cease to use all advertising material with reference to the certification.

The certification body shall carry out tests to determine if the non-conformity in each case is minor, moderate or severe.

Minor non-conformity:

Non-conformity which has no influence on the safety or functional behaviour of the product (e.g. formal errors)

Moderate non-conformity:

Non-conformity which has no significant effect on the safety or functional behaviour of the product (e.g. missing training certificates for the manufacturing staff)

Major non-conformity:

Non-conformity which has a direct or indirect significant influence on the safety or functional behaviour of the product (e.g. faulty release unit in fire dampers)



All services of the certification body shall be invoiced. The status of certification is published on the IBS homepage.

### **8.1 Existence of a minor or moderate non-conformity**

Should a minor or moderate non-conformity exist, then the certification body shall request the customer to remedy the defects within a specified period of time. When the remedy of defects and the implementation of the required measures are verifiably performed within the set period, then the certification shall remain valid.

Should the non-conformities not be remedied properly or within the time limit, then the customer shall again be prompted to do so within a reasonable grace period. The certification shall remain valid when the implementation of the measures and the remedy of the defects are complete and verifiable.

Any further disregard of the non-compliance shall lead to a suspension or restriction of the certification after prior notification of the notifying authorities. In such a case, the product to be certified must no longer be put into service. The customer shall be informed by the certification body of any suspension or restriction of the certification, any renewed request for corrective actions with a grace period or any threat of withdrawal of certification. As a general rule, the certification shall be restored when the customer sees to the implementation of corrective actions. In this case, the product to be certified may again be put into service. A repeated disregard of corrective actions and implementation of the required measures shall lead to a withdrawal or termination of the certification. In that case, the relevant notifying authority shall be informed about the factual circumstances. Should the respective customer hold no further certification, then the certification body may terminate the certification and surveillance agreement.

### **8.2 Existence of major non-conformity**

Should a major non-conformity exist, then as a rule, shall the certifying authority be informed about the suspension or restriction of the certification. In such a case, the product to be certified must no longer be put into service. The customer shall be informed in writing about the suspension or restriction of the certification and be prompted to take corrective action with a set period. In addition, the customer is subsequently warned of the withdrawal of the certification.

If the customer undertakes to remedy the deficiencies and to implement corrective actions in due time, then the certification shall be restored. Consequently, the product may again be put into service.



Should the remedy of deficiencies and the implementation of the required measures not be properly performed by the customer, then the inevitable consequence shall be the withdrawal or termination of the certification and if necessary, it shall be reported to the market surveillance authority. In that case, the relevant notifying authority shall be informed about the factual circumstances. Should the respective customer hold no further certification, then the certification body may terminate the certification and surveillance agreement.

## 9. Records

In order to provide evidence that all requirements of the certification process were effectively fulfilled, the certification body shall keep and store all records electronically and physically. The documentation shall be stored at the premises of the certification body which are monitored by an automatic fire alarm system. Only entitled persons shall be allowed access to the premises of the certification body.

All records shall be kept in accordance with the principle of confidentiality.

The records shall be stored for the period of application until withdrawal or termination of a certification and for 10 years thereafter.

## 10. Complaints

Complaints can be filed by third parties to the certification body.

The certification body shall then examine and determine if the complaint has relation to the certification. Should the complaint be rejected, then a written justification therefore shall be submitted to the complainant.

If the complaint is justified, the complainant shall receive notice of the reception and further processing of the complaint.

The complaint shall be handled by the staff of the certification body which has not previously been involved in the certification process. Complaints shall be dealt with within a reasonable time.

All required information necessary for the decision-making process shall be recorded and verified by the certification body. Any corrective measure to be taken shall be examined in relation to its effectiveness. The complainant shall be notified in writing of the result and end-of-procedure by the certification body.

If the customer comes to know of complaints with respect to the products' compliance with the certification requirements, then the customer shall keep and store all records about this. And upon request, the customer shall make all records available to the



certification body. Complaints which have an influence on the compliance with the certification requirements, shall be remedied with appropriate measures by the customer. These measures shall be documented accordingly.

## **11. Appeals**

An appeal against a certification body decision can be submitted by the customer within 14 days after receipt of the decision to the IBS certification body.

The certification body shall then examine and determine if the appeal has relation to the certification of IBS certification body. Diverging approaches to the accounting modalities shall not be treated as an appeal in accordance with the certification programme. Should the appeal be rejected, then a written justification shall be submitted to the customer.

If a complaint is justified, then the customer shall receive notice of the reception and further processing of the appeal.

The appeal shall only be processed by the certification body's staff which has not previously been involved in the certification process.

All required information necessary in the appeal proceedings shall be recorded and verified by the certification body. Any corrective measure to be taken shall be examined in relation to its effectiveness. The customer shall be notified in writing of the result and end-of-procedure by the certification body.

If no agreement can be reached within 60 days of receipt of the appeal or if guiding decisions are to be made, then a steering committee shall be convened.

## **12. Termination of certification and surveillance agreement**

Should the customer in a written request ask for the termination of the certification and surveillance agreement, then the certification body shall initiate the termination process after the expiry of a notice period of three months.

The customer shall then receive a written confirmation of the termination of the certification and surveillance agreement. All certificates of constancy of performance shall thus lose validity. The products to be certified must no longer be marketed.



### **13. Fees**

The certification process and all related activities are subject to charge.

The fees shall be listed in the applicable scale of fees.