5 December 2019

Customer Guide

CE certification in the framework
of the Construction Products Regulation (CPR)

Trust
Quality
Progress

Preface

This guide explains the process of CE certification in the framework of the Construction Products Regulation (CPR) carried out by us as a Notified Body (no. 0063, 0620, 0956 and 0560) for the conformity systems (AVCP) 1, 1+ and 2+.

The guide applies to all harmonised technical specifications (European harmonised standards and European Assessment Documents) for which Kiwa has been designated by the Dutch Notifying Authority to carry out the assessment in the context of the CPR. For all technical specifications for which we are designated, we are also accredited by the Dutch Accreditation Council.

On the Kiwa website you will find an overview of which harmonised technical specifications we have a notification for. You will also find here specific information about technical specifications including the applicable AVCP system, as well as the contact details of the responsible scheme manager, who will be happy to assist you.

General information about CE marking and the CPR can be found on the website of the European Commission. Annex I contains a list of terms, abbreviations and definitions used in this document.

The Kiwa Regulations for Certification apply to these certification activities and lay down the rights and duties of both you as the client and us as the Notified Body.

Index

The road to certification

The application

Based on your application we will send you a quotation including the initial assessment and the certification maintenance. When you sign the quotation and return it, this will form the certification agreement.

Performing initial assessment of the performance of the construction product

With an AVCP 1 and 1+ system we have to perform an initial assessment of the performance of the product (probably by testing) including the sampling. We will discuss the nature and number of (test) assessments with you in advance. Any outsourcing of the product assessments on behalf of Kiwa or any carrying out these assessments at your location is always done in consultation with you. It is also possible, under exceptional circumstances, to accept historical test results. Ask your contact person what the conditions are for this.

In the case of an AVCP 2+ system, you have to perform an initial assessment of the performance yourself. During the initial FPC assessment we will assess if your assessment has been done according to the harmonised technical specification.

If you would like to know more about accepting historical test results or cascade testing, it is best to contact the responsible Scheme manager.

Performing the initial FPC assessment

For all AVCP systems we will plan an initial on-site FPC assessment. Your quality system must function for at least a month before our visit. We ask you to inform us in advance about who the manager of the FPC system is. He or she will act as the contact person for the assessment team and will exercise effective guidance. The manager of the FPC system must be available during our visit.

During the FPC assessment we will assess your quality system, as well as the organisation and the implementation of your FPC system. The FPC assessment consists of both a documentation assessment and an implementation assessment. In the **documentation assessment**, we assess whether your working method is sufficiently documented, up to date, available and compliant with the harmonised technical specification. We may ask you to send in advance a number of documents (see Annex II) so that we can carry out part of the documentation assessment in advance and prepare for the implementation assessment. We will carry out the **implementation assessment** entirely at your location to assess whether you work in accordance with the method you have indicated.

Prior to the visit, we will send you an FPC assessment report containing the assessment aspects and an **assessment plan**. The assessment plan contains the planning, duration and also the scope of the assessment. The assessor will review the assessment plan with you at the beginning of the visit.

The **specific certification requirements** for your construction product are indicated in Annex ZA of the harmonised technical specifications. Whenever we need further technical interpretation for a an assessment aspect from the FPC assessment report, we will use a specific explanatory document.

Annex IV indicates what you need to take into account when **outsourcing** your production process,

your FPC inspection and in case of an AVCP 2+ system, the performance assessment of the construction product.

We will apply **the weighing of nonconformities and following up**, as indicated in Annex III, of this document when assessing any findings.

Issuing the certificate

After the assessment, any outstanding nonconformities must be resolved and verified by us before we make a decision to issue the certificate. With Minor nonconformities also an approved action plan to resolve these nonconformities will do in order to take a positive decision for issuing the certificate.

The certificate you receive has an indefinite period of validity. It indicates the scope on the basis of which you are certified. For an AVCP 2+ system we will issue a **Certificate of Conformity of the Factory Production Control**; for an AVCP 1/1+ system you will receive a **Certificate of Constancy of Performance**.

Maintaining certification

Performing periodic performance assessment of the construction product

With an AVCP 1+ system we will have to carry out periodic product assessment (probably by testing) including the sampling. The same information applies as when carrying out the assessment during the initial product assessment.

In cases of AVCP 2+ and AVCP 1 systems you have to perform the periodic product assessments yourself. We will assess during the periodic FPC assessment if your assessment has been done according to the harmonised technical specification.

Performing periodic FPC assessments

For all AVCP systems it is necessary to perform periodic FPC assessments. The standard frequency of the periodic FPC assessments is once a year but it may depend on the harmonised technical specification. The frequency and the possible cycle of the FPC assessment will be recorded by the assessor in **the certification program** in the FPC assessment report.

For performing the periodic FPC assessment the same information applies as when carrying out the initial FPC assessment.

Changing your scope

You are obliged to notify us of any changes in relation to the scope on the certificate (e.g. a new product or a change of production location) before you place these products on the market under certificate. We then assess whether an additional assessment is necessary and change the certificate after a positive result of the assessment.

Use of certificate, certification mark and logo

You are entitled to use our **Kiwa logos** on a voluntary basis. We can provide you with these logos on request. Annex V provides information about **the use and surveillance of the certificate, NB number and Kiwa logos.**

The CE marking itself is not a Kiwa brand. The surveillance of the use of CE marking and Declaration of Performance (DoP) falls under the market surveillance authority and does not form part of Kiwa's assessment. Annex VI provides information about **the use and surveillance of the CE marking and DoP**. General information about drawing up a DoP and about CE marking is available on our website.

Termination of your contract

If you wish to terminate your certification agreement, please inform us in a timely manner. We require a 3 month advance notification.

Annex I: List of terms

The list of terms, abbreviations and definitions below defines the most commonly used terms within the CPR that we use in our communication.

Term	Abbreviation	CPR clause	Definition
Construction Products Regulation	CPR		REGULATION (EU) No. 305/2011 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 9 March 2011.
Construction Products Directive	CPD		Directive 89/106/EEC of the Council of 21 December 1988 – was replaced by the CPR with effect from 1 July 2013.
Conformité Européenne	CE		CE is a logo that a manufacturer can use to indicate that its product complies with European regulations.
CE marking		9	CE marking refers to the practice of placing the CE label on the product, marking the product with CE or placing the CE marking on the packaging or accompanying documents, including all the required information.
Construction product		2.1	Any product or kit which is produced and placed on the market for incorporation in a permanent manner in construction works or parts thereof and the performance of which has an effect on the performance of the construction works with respect to the basic requirements for construction works.
Essential characteristic		2.4	Characteristics of the construction product which relate to the basic requirements for construction works;
Performance of a construction product		2.5	The performance in relation to the essential characteristics, expressed by levels or classes, or in a description.
Harmonised technical specifications	hTS	2.10	These are the hENs and EADs, on the basis of which CE marking is possible and Kiwa can provide certification as an NB, provided it has been notified appropriately.
Harmonised standard	hEN	2.11	A standard which the European Commission has published in the Official Journal of the European Union (OJEU).
European assessment document	EAD	2.12	A document that has been adopted by the organisation of TABs (EOTA) for the purpose of issuing ETAs.
Intended use		2.14	The intended use of the construction product as defined in the applicable harmonised technical specification.
Manufacturer		2.19	A natural or legal person who manufactures a construction product, or has such a product designed or manufactured, and markets that product under his name or trademark.
Distributor		2.20	A natural or legal person in the supply chain, other than the manufacturer or the importer, who makes a product available on the market.
Importer		2.21	A natural or legal person established within the Union who places a construction product from a third country on the Union market.
Market surveillance authority			The authority in each member state which oversee CE marking and the DoP. In the Netherlands ILT is the market surveillance authority.
Factory production control	FPC	2.26 Annex V	Documented permanent internal production control in a factory, in accordance with the applicable harmonised technical specifications.
Assessment of the performance of the construction product		Annex V	This relates to the (initial) assessment that can be made based on tests (including sampling), calculations, tabulated values or descriptive documentation relating to the product. With regard to testing, the term type testing (TT) or Initial Type Testing (ITT) is also used.
Assessment and verification of the constancy of performance	AVCP	Annex V	Compliance system comprising tasks which are carried out by the Manufacturer or the NB as provided in the Annex ZA of the hTS. In case of an AVCP 1, 1+ and 2+ system the NB initially and continually assesses the manufacturer's FPC system. In the case of an AVCP 1(+) system, the NB also (continually) assesses the product's performance.
Declaration of Performance	DoP	4.1, Annex III	The manufacturer states in the DoP the performances of his construction product.
Technical documentation			The manufacturer puts together a technical documentation package as the basis for the declaration of performance. The manufacturer collects together all the information about the required system for assessment and verification of the constancy of performance in this package. The manufacturer retains the documentation for a period of 10 years from the date on which your product is placed on the market. The manufacturer also makes the documentation available to market surveillance authorities in the EU which request the documentation.
Notified Body	NB		This is the body which have been notified by the notifying authority of the member state for performing tasks as an NB in relation to the CPR.
Notifying Authority	NA		This is the formal body of the member state that notifies a body for performing tasks as a NB. in the Netherlands this is the Ministry of the Interior affairs and Kingdom Relations.
No performance declared	NPD		The manufacturer states this in the DoP and on the CE marking if he doesn't wish to declare certain performances.

Annex II: FPC Documentation assessment

Before performing a FPC assessment, the assessor may ask you to submit a number of documents for prior review. If the documentation is not available or not suitable in its present form, the assessor may ask you to supplement or modify the documentation before making an appointment with you in order to perform the FPC assessment on-site.

The sections below indicate the information which we may request you to provide for the documentation review.

Quality system documentation

The quality system documentation is the documented information associated with the assessment aspects of the FPC assessment report. The documented information does not have to be in the form of a manual. Documented information may consist of a description of processes, procedures, instructions, control schedules and forms.

DoPs and technical documentation

If you have already drawn up DoPs, we may request you to send them to us, including the supporting technical documentation (e.g. test reports, if those have not been drafted by Kiwa).

ISO 9001 certificate and most recent audit report

If you already have ISO 9001 certification and this certificate relates to the same scope as the CPR certificate and is issued by an accredited certification Body, a major part of the assessment aspects of the FPC assessment are possibly adequately covered. We assess the ISO 9001 certificate and the most recent ISO 9001 audit report to determine whether all aspects have been handled and covered to a sufficient degree. If this is not the case, we must audit the aspects concerned.

FPC assessment report

You may briefly describe your method for all assessment aspects in the ‘Documentation manufacturer’ line in the FPC assessment report that we send to you in advance. Also if applicable, include a reference to your documentation (procedure and forms). This report will be taken as the starting point for the on-site assessment.

Annex III: Sanction policy

Major and minor nonconformities

We use two types of nonconformities: a minor and a major nonconformity.

A **minor nonconformity** is a finding that:

- does not affect the capability of the management system to process the intended results;
- has no direct effect on the conformity of the product or the process, ie the product may not meet the performance as stated by the manufacturer in the DoP.

Standard minor shortcomings may include:

- The documented procedure is not up to date;
- The manufacturer does not use the specified method;

A **major nonconformity** is a finding that:

- influences the capability of the management system to deliver the intended results (not effective control of the process);
- has a direct possible effect on the conformity of the product or the process, i.e. the product may not meet the performance as stated by the manufacturer in the DoP;
- demonstrates systematic or repeated failure within the same control aspect (e.g. a number of minor nonconformities).

Standard major shortcomings may be:

- In one sample, 2 items/parts are not compliant;
- There is no documented procedure;
- A repetition of the finding of a minor nonconformity which was also observed on the same aspect of the previous FPC assessment visit.

Repetition of a minor nonconformity

If we have identified a minor nonconformity on an aspect during the previous FPC assessment and a nonconformity on the same aspect is identified during the next FPC assessment visit, this will automatically become a major nonconformity.

Follow-up in cases of a minor nonconformity

We may choose to either agree with you about the corrective measures directly during the FPC assessment and to assess the effectiveness of the corrective measures at the next FPC assessment visit. Or either to have the follow-up as stated in the event of a major nonconformity (see next paragraph).

Follow-up in the event of a major nonconformity

Within two weeks after the identification of the nonconformity you must send us an action plan including a time path for the implementation of the corrective measures that we have to approve. This action plan contains an investigation into the cause, extent of the nonconformity and corrective

measures to resolve and to prevent it. We must verify within 3 months, in case of periodic FPC assessment, or within 6 months, in case of an initial assessment, after the identification of the nonconformity that the nonconformities have been corrected. The verification may be done by means of an extra on-site verification assessment or by means of a documentation assessment if that also provides sufficient confidence in the effectiveness of the corrective measures.

If the verification does not lead to a positive finding, we will ask you to send us again an action plan for approval. We must verify within 3 months after the negative finding of the first verification that the nonconformities have been corrected.

Refusing, suspension and withdrawing certification

In the case of an **initial FPC assessment**, if the verification does not lead to a positive finding, we will refuse certification. After this, we will only consider a new application if you can prove that you have taken the corrective measures to meet all requirements.

In the case of **a periodic FPC assessment**, if the verification does not lead to a positive finding, we will suspend the certificate. If after 3 months of suspension no demonstrably improvement has occurred, we will withdraw the certificate.

We may also use our the right to, directly after the identification of a nonconformity or after the first negative verification of the corrective measures, suspend, refuse or withdraw certification depending on the gravity of the nonconformity.

When we refuse, suspend or withdraw certification, we have to report this to our Notifying Authority. Further conditions for refusing, suspending and withdrawing certification and the possibility to appeal against these decisions are specified in the Kiwa Regulations for Certification.

Annex IV: Outsourcing

Outsourcing

If you (temporarily) outsource and/or:

- the entire production process or part of the production process that affects the declared performance of the product;
- the performance assessment of your construction product (e.g. type testing);
- the FPC inspection (e.g. final product tests).

The relevant aspects of the FPC assessment must be assured in such a way that the level of confidence is as high as in a situation where we assess those aspects for a manufacturer that does not outsource.

An assurance may be an independent certificate from the outsourced party which covers assessment of the FPC assessment aspects. It is also possible that we will have to perform an additional assessment at the location of the producer or laboratory where production processes or tests are outsourced.

In the case of outsourcing, you always remain responsible for the performance of the product and the associated production control.

Outsourcing the production process

When outsourcing the production process, the starting point is that we assess this process at that location where it takes place.

As a manufacturer you must have a contract with the producer to which the entire production process, or part of the production process, has been (temporarily) outsourced. The contract must make provision for at least the following:

- It must describe the scope of the products for which the production process is outsourced and, in the case of partial outsourcing, it must describe the key activities associated with the harmonised technical specification that are outsourced.
- The producer must report any change to the product in question or the production process to you immediately.
- If applicable, the producer must agree that Kiwa may carry out an assessment at the producer's location.
- If applicable, the producer makes available to you the assessment reports and/or test reports that are required for your certification assessment.
- In the case of a private label, the party responsible for drawing up the labelling and the DoP (you or the producer).

Outsourcing the performance assessment or the FPC inspections

When outsourcing the performance assessment of your construction product and/or FPC inspection, you need a contract with the institution to which you outsource in case we have to carry out an assessment there. The contract must state that the institution agrees that Kiwa may carry out the assessment.

Annex V: Use of Kiwa certificate, NB number and Kiwa logos

Use of Kiwa certificate and NB number

We publish your full certificate on our website unless you do not want to.

The certificate is part of your technical CE file. You do not have an obligation to supply the certificate with each product you deliver. You must, however, make a DoP available to your customers and label your products with the CE logo before placing your product on the EU market.

After the certificate has been issued, you are entitled to use Kiwa's NB number on your DoP and CE marking to indicate that Kiwa is assessing you in relation to the CPR.

Use of Kiwa logos

Your account manager will make the Kiwa NB and/or FPC logo (see below) available to you. You can use this logo in your printed matter, letterhead, website and in your advertisements. The logos are available in EPS or JPG format. The Kiwa logos are voluntary logos in addition to the mandatory CE marking that you must affix to your products (see Annex VI for more information about the CE marking). No other Kiwa logos may be used without first obtaining Kiwa's explicit permission.

The following rules apply to the use of these logos:

- Use of this logo is only permitted:
  - to you as a certified client and to suppliers named on the certificate;
  - in relation to the certified subject matter;
  - during the period of validity of the certificate.
- The execution requirements are as follows:
  - Logos may only be depicted in full, in the height/width ratio specified by Kiwa;
  - Displaying part of/additions to the logo is not permitted;
  - Images may only be displayed in black and white on a white or transparent background;
  - In order to ensure legibility, the minimum width of the image must be 1.5 cm.

Surveillance of the use of certificate, NB number and Kiwa logos

We check for incorrect use of certificates, our NB number and the Kiwa logos by you and other third parties on an annual basis.

In cases where a product which is not certified appears to fall within the scope of your certification, you must demonstrably and clearly communicate to your customers that the product is not covered by certification.

The conditions relating to use of the certificate and markings are specified in the Kiwa regulations for certification.

Annex VI: Use and surveillance in relation to the DoP and CE marking

Drawing up a DoP and CE marking

In accordance with the CPR, you must include a DoP and CE marking with each construction product to which CE marking applies. This is where you state the values for the essential characteristics that you wish to declare.

Surveillance of the use of the DoP and CE marking

Kiwa's assessment does not cover drawing up and the use of a DoP and the CE marking. This is monitored by the **market surveillance authority** of the member state. Kiwa also cannot approve or validate a DoP and CE marking.

The authority (and not Kiwa) verifies among others the following:

- The presence of a DoP and CE marking on the construction products.
- The correct preparation of the DoP and CE marking
- The correctness and accuracy of the information about the product's performance. The authority assesses, based also on the manufacturer's production test results, whether the characteristics of the construction products correspond to the characteristics stated by the manufacturer on the DoP and CE marking. Moreover, the manufacturer is permitted to declare fewer essential characteristics, or a value for the essential characteristics that is not as good. This applies even if these values are stated on the certificate.
- Assessment of the FPC system and the performance assessment by a NB, if this is applicable according to the harmonised technical specification. You are therefore responsible for ensuring that the scope of your certificate corresponds to the scope of your products to which CE marking applies;
- Declaration of at least 1 essential characteristic (and completion of at least 1 initial performance assessment).

If we detect nonconformity during a FPC assessment of an aspect covered by the supervision of the market surveillance authority, we will not classify this issue as a nonconformity. We may however include a remark in the report. If this issue persists and no improvement is expected, we reserve the right to report it to the market surveillance authority.

The DoP and CE marking as starting points for the FPC assessment

The DoP and the CE marking on the products are our point of departure for the assessment and we are using this information to assess whether or not:

- you have carried out new initial performance assessments and declared them under an AVCP 1/1+ system without notifying us;
- you state 'better' performance than the level determined in Kiwa's initial assessment and/or indicated on the certificate or you use Kiwa's NB number on a DoP or CE marking on products which fall outside the scope of the certificate and therefor misuse the Kiwa

certificate, NB number and logo;

- the declared performance has been assessed correctly.
- the scope of the documented FPC system (which falls within the scope of the certification) corresponds to the DoP's portfolio.