CERTIFICATION

(Rules for the preparation, granting, and maintenance of certificates used in conformity assessment systems, and for their use when marking products)

1. Purpose

The purpose of this document is to acquaint new customers applying for certification (hereinafter referred to as "applicants for certification"), as well as existing clients and licence-holders of certificates (hereinafter referred to as "licence-holders" or "licensees"), with the procedures involved in the certification of (1) their products, and (2) their processes (factory production control). The activities involved in the certification procedures are presented, with a description of the tasks and responsibilities, as well as powers (authorizations) of ZAG / The Slovenian National Building and Civil Engineering Institute (hereinafter referred to as "ZAG") as a certification body, and the tasks and responsibilities of applicants for certification and clients / licence-holders. A description is also given of the rules and procedures which have to be followed when certificates are issued and used, within the scope of conformity assessment systems, as well as in cases where changes are to be made to such certificates, or they are subject to temporary or partial suspension, or withdrawal. The rules which have to be followed whenever permission is granted to use a mark of conformity, for affixation to a product, are also given. The way in which ZAG performs surveillance of information published by licence-holders is also described, as well as the procedure to be used for the making of changes to certification requirements.

2. Terms and definitions

1. **Conformity assessment system**: Rules, procedures and management for carrying out conformity assessment.

   (SIST EN ISO/IEC 17000)

   NOTE: According to the EU Regulation No. 305/2011 (the Construction Products Regulation) and ZGPro-1 (the Slovenian Construction Products Act), conformity assessment systems should officially be referred to as: **systems of assessment and verification of constancy of performance** (abbreviated to: "AVCP systems").

2. **Certification**: Third-party attestation related to products, processes, systems or persons.

   (SIST EN ISO/IEC 17000)

3. **Certification procedure**: A specified method for the carrying out of an activity or an attestation process.

   (SIST EN ISO/IEC 17000)

4. **Certification requirement**: A specified requirement, including product requirements, that is fulfilled by the client as a condition of establishing or maintaining certification (i.e. a requirement which refers directly to the product and is specified in standards or other normative documents, identified in the certification scheme).

   (SIST EN ISO/IEC 17065)

5. **Certification scheme**: A certification system related to specified products, to which the same specified requirements, specific rules and procedures apply.

   (SIST EN ISO/IEC 17065)

NOTE: A "certification system" is a type of "conformity assessment system" (see point 1 above).

6. **Scheme owner**: A person or organization responsible for developing and maintaining a specific certification scheme. (SIST EN ISO/IEC 17065)

   NOTE: The certification body itself may be a scheme owner.

7. **Impartiality**: The presence of objectivity. (SIST EN ISO/IEC 17065)

8. **Conformity**: The fulfilment of requirements. (SIST EN ISO 9000)

9. **Non-conformity**: The non-fulfilment of requirements. (SIST EN ISO 9000)

10. **Correction**: Action that is taken to eliminate a detected non-conformity.

    (SIST EN ISO 9000)

11. **Corrective action**: Action that is taken to eliminate the cause(s) of a detected non-conformity or other undesirable situation, in order to prevent its recurrence.

    (SIST EN ISO 9000)

12. **Evaluation**: A combination of the selection and determination functions of conformity assessment activities.

    (SIST EN ISO/IEC 17065)

    NOTE 1: Selection activities consist of the collection and processing of data (e.g. by sampling, testing, inspections, and the reviewing of information) which is needed for determination.

    NOTE 2: Determination activities consist of the obtaining of complete data about whether the subject whose conformity is being determined fulfils the specified requirements (testing, inspections, audits, and peer assessment methods).

13. **Certification body**: Third-party conformity assessment body operating certification schemes.

    (SIST EN ISO/IEC 17065)

    NOTE 1: **Designated certification body**: A certification body which fulfils the minimum conditions of the corresponding law or directive / regulation and which has been designated by the responsible ministry in the Republic of Slovenia for the performing of tasks involving the assessment and attestation of conformity / assessment and verification of the constancy of performance.

    NOTE 2: **Notified certification body**: A certification body which is notified by a EU member state to the European Commission and participates in procedures for the assessment and verification of the constancy of performance of products on the basis of a harmonized technical specification.

14. **Technical specification**: A document which prescribes the technical requirements which a product, process or service must fulfil.

    NOTE: Technical specifications consist of harmonised European standards (hEN), European Assessment Documents ("EAD"), Slovenian Technical Approvals ("STS"), and Slovenian national standards ("SIST"), as well as any corresponding certification scheme.

15. **Harmonized European standard (hEN)**: A standard which is prepared by CEN/CENELEC based on to the mandate of the European Commission, and is published by the latter in the Official Journal of the EU, together with (1) the date of its applicability and (2) the date of its obligatory use in the EU (which corresponds to the end of the co-existence period).
16. **European Assessment Document (EAD)**: A document which is prepared by a TAB (a Technical Assessment Body) and adopted by the co-ordinating organization of TABs for the purposes of issuing European Technical Assessments. It is used in the case of products which are not the subject of hEN.
17. **European Technical Assessment (ETA)**: The documented assessment of the performance of a product, in relation to its essential characteristics, in accordance with the respective European Assessment Document. It is issued by a TAB, i.e. a Technical Assessment Body.
18. **Slovenian Technical Approval (STS)**: A favourable technical assessment of the fitness for use of a product for an intended use in Slovenia, based on the fulfilment of the essential requirements for building works for which the product is used. It is granted by a designated body.
19. **Slovenian national standard**: A standard which is issued and published by SIST, the Slovenian Institute for Standardization.
20. **Product type determination / Initial type-testing**: The complete set of tests or other procedures described in the technical specification, determining the performance of samples of products which are representative for the product type.
21. **Factory production control (FPC)**: Documented, permanent and internal control of production in a factory, in accordance with the relevant harmonised technical specifications.

    NOTE 1: Factory production is performed by the producer. It consists of procedures and actions which are necessary for the maintenance and management of the conformity of a product with the corresponding technical specification. It includes the verification and performance of tests on testing equipment, raw materials and constituents, technological processes, production equipment and final products, and the further testing of samples taken in the factory in accordance with the prescribed testing program.

    NOTE 2: Factory production control can also be referred to by means of the expression "quality assurance program" or "quality management system", depending on the elements of conformity assessment which are prescribed in the corresponding technical specification or certification scheme.
22. **Applicant**: A potential client for certification, who has not yet entered upon a contractual relationship with ZAG.
23. **Client / Orderer**: A business entity which, by submitting an application for certification, has ordered the performance of such certification. Also: an organization or person responsible to a certification body for ensuring that certification requirements, including product requirements, are fulfilled. (SIST EN ISO/IEC 17065)
24. **Licensee / Licence-holder**: A business entity which has concluded a contract with ZAG about the use of a certificate, together with, if so agreed, any mark of conformity, including the ZAG mark of conformity, and thus has the right to use such a certificate / mark of conformity while being legally obliged to fulfil all the obligations

prescribed in the General Conditions of Contract. All documents issued by the certification body, i.e. ZAG, shall be despatched to the Licensee's address.

25. **Producer / Manufacturer**: A business entity which manufactures products which are the subject of certification.

26. **Product**: The result of a process.(SIST EN ISO/IEC 17065)

27. **Duplicate certificate**: A certificate which refers to a product which is the same as that for which a certificate has already been issued, which is manufactured in the same production plant under the same production and surveillance conditions, but using a name which is different to that of the original product, and is issued to another licensee subject to the agreement of the licensee for the original product.

28. **The ZAG mark of conformity**: A copyrighted mark which signifies, whenever affixed to a product, that the conformity of the latter with the technical specification has been verified by ZAG.

GENERAL NOTE: For other expressions and their meanings, see: SIST EN ISO/IEC 17000, SIST EN ISO/IEC 17065, or SIST EN ISO 9000.

3. Activities of the certification body up to the time of issuing of a certificate

3.1. Acquainting the applicant with the certification procedure

Potential clients / applicants for certification (for simplicity, they are referred to in the text which follows as "applicants"), or any other interested party, can acquaint themselves with all relevant information about certification procedures on ZAG's web pages (www.zag.si), by telephone, by fax, by electronic mail, and/or by means of an informative discussion.

In this way the applicant, or other interested party, can find out whether or not the requested service can be carried out by the certification body. If it can be, the latter will prepare an offer. In this offer the applicant or other interested party shall be acquainted, in particular, with the following:

- with the certification procedure which applies to the relevant product or process,
- with ZAG's powers (i.e. the scope of its authorizations / designations) in the case of the given product or process, in cases where certification is obligatory,
- with the individual documents which contain the rules for certification (the certification scheme, the viewpoint of the relevant sector group, and other documents, if relevant),
- with the costs for the certification procedure,
- with the rights, tasks and responsibilities of the applicant.

In the case when ZAG has not been designated for the given product, the applicant will be informed about ZAG's current status with respect to such designation. The procedure involved in the extension of such designation can then be implemented.

If the manufacturer so desires, and at the latter's expense, a representative of ZAG can perform an informative visit to the manufacturer's factory - before the initial inspection of factory and of factory production control.

The applicant shall be given all the forms which have to be filled out before an application can be accepted, as follows:

- the application for certification,
- a questionnaire about the applicant, in which the latter shall supply all data about the product which are needed for the planning of certification,
- a declaration of identity - if product type determination or initial type testing is to be performed on a prototype of the product, or on a sample of the product which has been taken by the applicant himself.

Blank forms of all three of the above-listed documents are accessible on ZAG's web pages (www.zag.si).

3.2. The application for certification

By delivering a signed application form, it shall be considered that the applicant has applied for the performance of all activities involved in the certification of a product or process up to the signing of a contract (licensing agreement), while simultaneously delivering all necessary information for the preparation of the latter. The applicant also confirms that he is acquainted with the relevant certification procedure and the conditions for obtaining a certificate. The application may refer to an individual product or family of products or to a process.

In the non-regulated field the applicant may apply for attestation of conformity at a higher level than that prescribed by the relevant technical specification, or for attestation of conformity on the basis of a different technical specification. However, in this case the certification body shall specifically warn the applicant that the making of such an application does not release him from the fulfilment of his legal obligations to obtain all the documents required by the technical specification.

3.3. Acceptance and inspection of the application for certification

The Head of the Certification Service shall accept and inspect the application for certification, and arrange for a job file to be opened. The application form must be filled out completely. If it is found that the applicant's requirements are unclear, then a representative of the certification service will try, together with the applicant, to determine more clearly what the scope of certification should be, and to which technical specification reference needs to be made.

In the inspection, at least the following elements shall be verified:

- whether the application form has been fully filled out,
- whether the scope of certification has been properly defined, as well as the technical specification, and, in the case of ETA's (assessments), also the basis of the issuing of the ETA,
- whether ZAG has been designated for the given field/product (in the case of obligatory certification),
- whether suitably qualified staff are available, as well as all other resources that are needed for the performance of the necessary activities.

3.4. Appointment of authorized persons for certification and of heads of inspection teams

The Head of the Certification Service shall, in the case of each certification procedure, appoint an authorized person from among those persons who are designated for the performance of such procedures.

The authorized person shall be responsible for, and manage the tasks defined in the certification scheme or technical specification for the product concerned. The authorized person performs tasks in connection with assessment of performance of product and with the factory and of factory production control, in the case of regular and extraordinary inspections as well as external audit testing, and as a rule is the leader of the audit group. The authorized person may, whenever necessary, engage in the certification procedure other auditors and/or experts/specialists.

3.5. Acceptance or rejection of applications for certification

If certification can be performed in the manner requested in the application, a technical administrator of the Certification Service shall prepare a written confirmation of the receipt of the application, whereupon the Head of the Service shall approve this document and sign it. The confirmatory document shall be sent to the applicant and a copy of it, together with the application, shall be delivered to the selected authorized person.

The above-described confirmatory document shall contain information about the following:

- about the name of the authorized person who is responsible, on behalf of ZAG, for the performance of the certification procedure,
- about the certification scheme and technical specification according to which the certification procedure is to be performed,
- about any subcontractors who may be included in the certification procedure,
- about the costs, and, if necessary, about the payment conditions of the certification procedure in accordance with the certification scheme / technical specification,

- about any agreed changes with regard to the application for certification,
- about the tasks which need to be performed by the applicant before the certification procedure can begin (e.g. the delivery of missing documents, or the making of an advance payment).

In the case that any subcontractor (i.e. subcontracted personnel or a subcontracted organization) is to participate in the certification procedure, the Head of the Certification Service shall first inform the applicant in writing.

In the case that certification cannot be performed in the manner requested in the application, the application shall be rejected, and the applicant notified about the reasons for such a rejection. There can be different reasons for rejection, for instance that ZAG does not have the relevant designations, and cannot or does not intend to seek such designation, or else that the certification body is not adequately qualified to perform the requested activities.

3.6. Inspection of documents

All documents submitted by the applicant shall be inspected by the authorized person.

In cases when it is foreseen, in the technical specification or certification scheme, that a report shall be prepared about the inspection of documents, as well as in cases where the non-conformities (or other undesirable situation) are such that it is not yet possible to carry out an initial inspection of factory and factory production control, the authorized person shall prepare such a report and deliver it to the secretariat of the Certification Service, which shall despatch it to the applicant.

3.7. Dealing with cases where a quality management system has been implemented according to SIST EN ISO 9001

If the applicant for certification possesses a certificate proving the conformity of the applicant's quality management system with the requirements of SIST EN ISO 9001, then the authorized person shall follow the instructions which are given in the technical specification or certification scheme with regard to the conduct of the certification body in such cases. If, on the other hand, no such instructions are available, then the authorized person shall proceed in the same way as in the case of applicants who do not possess such a certificate (as mentioned above).

3.8. Pre-assessment of the factory and of factory production control or a quality management system

Pre-assessment of a factory and factory production control, or of a corresponding quality management system, is not obligatory, but it can be very useful since it can indicate the presence of weak points which the applicant needs to eliminate in order to be suitably ready for the initial inspection of factory and of factory production control.

The scope of pre-assessment can be agreed between ZAG and the applicant. In the case of the same applicant, a maximum of two pre-assessments of the same activities may be performed. The second pre-assessment shall not be performed earlier than 6 months after the first pre-assessment. Re-categorization of a pre-assessment into an initial inspection of factory and of factory production control is not permitted. The costs of pre-assessments shall be determined based on their scope.

3.9. An assessment of the performance / Initial testing (AVCP systems 1 and 1+)

In the case of the AVCP systems 1+ and 1 it is stated that the taking of a representative sample, or samples, and initial testing is performed by a third party. The activities which are involved in an assessment of the performance of the product include testing, calculations, determination of tabular values and similar.

3.9.1. Taking of samples and the scope of testing

The authorized person or person responsible for taking samples shall at random take a representative sample in accordance with the provisions of the technical specification, and make a record about such sampling. The randomly taken sample must represent a group, series, batch or charge of the products which are to be subject to certification. Whenever necessary, depending on the nature of the sample, the authorized person and the licensee may agree about the method to be used for sampling and about the responsibilities involved.

If the certification scheme or technical specification or position paper of Group of Notified Bodies so permits, the client himself may take the sample for the implementation of product type determination / initial type testing of the product, the authorized person shall require that the client submits a declaration of identity. The authorized person shall accept the delivered sample, inspect its condition, and prepare a record about acceptance of the sample.

The sample shall be delivered by the authorized person or person authorised for sampling to the selected testing laboratory at ZAG, or, if this is not possible, to another testing laboratory. In the case of the use of a sub-contracted testing laboratory, the client should be informed in advance. The testing laboratory shall perform the prescribed tests and/or calculations in accordance with the methods defined in the certification scheme / technical specification. The scope of such tests shall be defined by the authorized person. In the case that, when the sample is taken, any kind of damage is observed, or that the sample is found to be in any way defective, the testing laboratory shall immediately inform the authorized person about such an occurrence. The latter will then inform the responsible representative of the licensee about this. After any test has been performed, the corresponding laboratory shall issue a report in accordance with the procedure which applies in this particular laboratory

3.9.1.1. Testing in the facilities outside the testing laboratory of the certification body (not applicable to harmonised certification procedures according to CPR)

Whenever, for technical, economic or logistical reasons, the performance of individual certification activities in one or more of ZAG's laboratories cannot be justified, tests may be performed either in the production plants of the producer, or in external laboratories with the use of the producer's testing equipment. In this case the authorized person shall supervise the performance of the testing procedure, and shall prepare a corresponding report.

3.9.2. Assessment of the results of the initial testing of a product

The basis for the assessment of the performance / initial testing of a product may consist of reports prepared by ZAG's laboratories, as well as of reports prepared by other testing laboratories or suitably qualified testing organizations.

If, within the scope of product type determination / initial type testing of a product, the results of historically performed tests are to be used, it is necessary to take into account, if they exist, any position papers issued by the corresponding groups of notified bodies with respect to the use of historically performed tests for the product concerned.

Within the scope of the evaluation of results the following, in particular, shall be verified: sampling methods, handling of test specimens, performance of tests taking into account the requirements of the (technical) specification, reliability of the results, comparison of the results with the requirements and criteria.

Additionally also the ownership of reports should be verified. In cases when a client is not an owner of test reports and utilizes the principle of sharing or cascading, it shall obtain written authorisation by the owner of reports to use the results (such as: a statement or a contract). The authorisation shall clearly state the reference to documents in question, any limitation regarding use of documents, validity and similar.

If, during the initial type testing of a particular type of product, it turns out that the product will not be in conformance with the requirements of the corresponding technical specification, the authorized person shall inform the Head of the Certification Service, as well as the client, about this. The client can decide to make corrections and implement corrective actions which refer to the detected non-conformities, and/or additional testing, or else may notify the certification body that it wishes to halt the certification procedure. If the client does not halt the certification procedure then the latter shall continue in accordance with the provisions of the certification scheme.

If non-conformities are detected ***after*** *the product type testing has been performed in its entirety* then a report about testing shall be sent by the certification service to the client, describing the detected non-conformities, and defining the deadline by which they need to be eliminated. The implementation of corrective actions shall be verified by means of partial or complete product type

testing. If the client does not eliminate detected the non-conformities described in the above-mentioned notification by the prescribed deadline, then sanctions shall be applied.

3.10. Initial inspection of factory and of factory production control, and of any existing quality management system

The initial inspection of the factory and of factory production control shall be performed, together with an inspection of any existing quality management system, by the authorized person (such inspections are hereinafter referred to as "initial inspections"). The method in which the initial inspection is to be performed, and its scope, are defined in the corresponding certification scheme / technical specification.

Before the initial inspection is performed a plan for the inspection of the factory and of factory production control is prepared and sent to the client and the Certification Service at least 3 days before the planned day upon which the initial inspection is to be performed. The plan shall contain the following data:

- the subject and purpose of the initial inspection,
- the product technical specification with designation of issue,
- the people making up the audit/inspection group,
- the representatives of the producer(their functions should be named),
- the date upon which the initial inspection is to be performed,
- activities that needs to be performed (depending on the requirements of technical specification), reference to clauses of technical specification and time schedule of each activity.

All findings made during the initial inspection shall be recorded in a corresponding questionnaire.

The inspection of the factory and of factory production control shall include all requirements about factory production control which are prescribed in the technical specification for the product. For this purpose the following activities have to be performed:

a) performance of an evaluation of the quality management system implemented in the production plant, which shall include the following:
   - verification of all documents of the quality management system in the production plant (i.e. the quality manual),
   - verification of the implementation of the provisions of the quality manual,
   - verification as to whether the requirements of the technical specification about the performance of factory production control are correctly and completely taken into account in the quality manual and in the production process;

b) verification of the performance of those procedures which are prescribed in the technical

specification for quality management of the product:

- input control of raw materials or components needed for the production of the product,
- procedures for handling the constituent materials and ensuring the designed composition of the product,
- production methods and production equipment which have a significant effect on the quality of the product,
- the degree of training of the production personnel,
- procedures for the handling of complaints,
- procedures for handling, storage and despatch of finished products;

c) performance of inspections of:

- the laboratory for performing conformity tests, especially whether it is in good order and well-equipped,
- performing of corresponding testing in the laboratory,
- the testing equipment, particularly its operation, calibration and maintenance;

d) verification and evaluation of:

- the implemented method of evaluation of the results of the prescribed tests, and the frequency and method of taking samples,
- the corrective actions which are to be taken in the case of detected non-conformities.

After the initial inspection has been performed, the authorized person or the audit/inspection group shall evaluate the individual findings, prepare conclusions and decide whether the factory production control in the production plant fulfils the requirements of the technical specification.

At the final meeting the authorized person shall acquaint the representatives of the producer with the findings form the initial inspection. If non-conformities are detected, then the authorized person shall, in agreement with the representatives of the producer, define a deadline by which the non-conformities are to be eliminated, which shall be no longer than 6 months. The deadline shall be defined on the calendar. The authorized person shall keep for himself / herself a copy of the record of the inspection, together with any annexes, and hand the original over to a representative of the producer. If the client is not the producer, then the producer, too, shall receive a copy of the record of the inspection.

3.10.1. An assessment of the performance of product in the case of the certification of factory production control (AVCP system 2+) and internal control testing (AVCP systems 1+, 1, 2+)

In the AVCP system 2+ an assessment of the performance of product / initial testing is the task of

the producer. Also internal control testing is task of the producer. If the product specification does not contain instructions in connection with testing, the authorized person shall act as follows:

a) If tests have been performed by the client himself then the authorized person shall verify whether the client has adequately trained personnel and correctly functioning testing equipment, and whether the implementation of the testing method was performed correctly.

b) If, on the other hand, the testing was not performed by produced itself but were orderd in an external testing laboratory, then the authorized person shall verify how this testing laboratory was selected and the selection criteria, and shall determine whether this laboratory has adequately trained personnel and correctly functioning testing equipment, and that the testing method has been correctly implemented. In the case of lack of evidence about the subcontracted laboratory, the authorized person may proceed with inspection of the selected laboratory.

c) If initial and control tests within the system 2+ are performed in laboratories of ZAG, or ZAG laboratory performs internal control tests within systems 1+ and 1, ZAG laboratory is considered as subcontractor of the producer and it is considered in the same manner as in case b).

For procedures b) and c) it is necessary to check the ownership of reports. V cases when the orderer is not an owner of test reports and one is referring to sharing or cascading procedure, all rights and duties regarding tests reports and results should be defined in written manner by the owner of test reports (exp.: written statement or contract). All rights and duties should be very clear (reference to specific documents, how the contracting authority may use the results, eventual restrictions on the use and validity, etc).

3.10.2. Initial inspection in the case of duplicate certificates

In the case that applicants for a certificate which apply for certification on the basis of initial tests of other business entity and on the basis of the inspection carried out at the production plant of another business entity (where the inspection is already being performed), the inspection is performed in a way that certification service obtain all relevant information and documents for carrying out the evaluation from the applicant for certificate:

- findings at the inspection at the production plant and of the production control that is already being performed for another business entity,
- findings from the review of the contractual relationships between the applicant for certification and the production facility and the applicant for a certificate and the owner of initial test reports,
- findings from the review of the documentation submitted,
- findings of the review of the information provided.

In the cases when all relevant elements of production control can be inspected in the production plant itself, the inspection at applicant's facilities is not needed. If, on the other hand, due to the nature of the product or any additional influences on the constancy of performance of product, all relevant elements of production control cannot be checked, the inspection at applicant's premises is needed. During this procedure technical specifications and positions of the notified bodies are taken into account.

3.11.2 Actions to be taken in the case when non-conformities are detected within the scope of the initial inspection

If non-conformities are detected within the scope of an *initial inspection of factory and of factory production control*, the client must eliminate them by the agreed deadline, within a period which may be no longer than 6 months, and submit to the certification body in writing a proposal as to how the non-conformities should be eliminated (i.e. "the producer's report about performed corrections and implemented corrective actions"). The authorized person shall inspect this report and, taking into account the severity of the non-conformities, decide:

- whether it is necessary to verify the performed corrective actions and their effectiveness, at the production plant,
- whether some part or parts of the initial inspection of the factory and of factory production control need to be repeated,
- whether the supplied written documents about the elimination of non-conformities are sufficient (i.e. proof in the form of the producer's report about performed corrections and implemented corrective actions).

After the evidence of the elimination of non-conformities has been verified, the authorized person shall perform an evaluation.

If the client who has ordered the initial inspection of factory and factory production control does not eliminate all of the detected non-conformities within the agreed deadline, or does not notify the authorized person in writing about this, then the latter shall issue a first warning. If, within a period of 15 days after the issuing of such a warning, the authorized person has still not received any proof about the elimination of detected non-conformities, then a second warning shall be sent by the latter to the applicant, notifying him that the certification procedure will be halted if, within a period of 15 days, the authorized person does not receive notification that the detected non-conformities have been eliminated. In the case that the client does not respond to such a second warning, then the authorized person shall complete his evaluation report, and recommend that the proposal for the issuing of a certificate is rejected. The same procedure shall be followed in the case that it is not possible to eliminate the detected non-conformities within a period of 6 months.

In the case that the client finds that it is not possible to eliminate the detected non-conformities

within the agreed period, then he may submit an application for an extension of the agreed deadline. The latter shall be examined by the authorized person, who will subsequently notify the client in writing about his decision. The final deadline for the elimination of detected non-conformities shall be no longer than 6 months.

3.11. Evaluation of a product or of factory production control

Evaluation of a product or of factory production control consists of the evaluation of the conformity / constancy of performance of a product, or the conformity of factory production control, with the requirements of the certification scheme and technical specification. Such evaluations are prepared by the authorized person, and form the basis of the issuing or non-issuing of a certificate.

3.13 Concluding of the contract about the license to use a certificate and/or the ZAG mark of conformity

Before a certificate can be issued, a contract about the license to use a certificate and/or mark of conformity shall be prepared and sent to the applicant for signature. In this contract, which is concluded between the client/orderer and ZAG, the conditions for the use of any issued certificate are defined, as well as the activities of the certification body, which are prescribed in the corresponding certification scheme or technical specification. If the applicant does not wish to sign this contract, then only the report about evaluation shall be delivered to the applicant, together with all its annexes. The General Conditions of Contract, which are accessible on ZAG's web pages: www.zag.si, shall form a constituent part of the contract.

Clients may use the ZAG mark of conformity only if they have concluded a licensing agreement with ZAG.

3.14 Decisions about the issuing or non-issuing of a certificate

After receipt of the signed contract about the license to use a certificate and/or mark of conformity, the Certification Service shall inspect all data in connection with the evaluation and, on the basis of the fulfilment of the conditions for the issuing of a certificate, prepare a *Decision about the issuing of a certificate.* The latter document shall contain all necessary data about the applicant/client, the production plant, the type of certificate, the technical specification, the title of the product, and the range of production, as well as about the validity and conditions for validity of the certificate.

If the conditions for the issuing of a certificate are not fulfilled, and if it is not possible to fulfil them by means of corrective actions within the prescribed deadline, then the Certification Service shall prepare a *Decision about the non-issuing of a certificate*. Such documents shall contain the legal recourse that the applicant / client may submit a complaint within a period of 15 days.

Decisions about the issuing or non-issuing of certificates shall be made by the Head of the Certification Service, who will sign the corresponding documents.

3.15 Issuing of certificates

On the basis of the signature of the above-described signed contract, ZAG, as the certification body, will issue a *certificate*.

The conditions for the issuing of a certificate can be defined in the certification scheme and technical specification, or in the contract about the license to use a certificate. In any case such a contract shall be concluded before any certificate may be used. Certificates may be issued in the fields of both *obligatory* and *voluntary* certification.

Certificates will be issued by ZAG, as the certification body, in the Slovenian and English language. If the licensee wishes to obtain a certificate in any other language (i.e. in any language apart from Slovenian and English) the certification body will issue such a certificate if it has suitably qualified personnel for its preparation.

3.15.1 Number designations of certificates

In the regulated field of construction products, number designations of certificates shall consist of, firstly, the number of the Decision of the responsible ministry in the Republic of Slovenia, or the number of the notified body, followed in either case by the designation of the legal basis, and concluded by the unique serial identification number of the individual certificate.

The number of the Decision of the responsible ministry is stated in the field of certification of packaging of dangerous goods according to ZPNB and in the field of certification according to ZGPro-1 (REG2-000X-0Y). In the field of harmonized technical specification the notified body number is stated (1404).

In the field of voluntary certification the numbering designation of a certificate shall consist of the letter "C" followed by the corresponding unique serial identification number from ZAG's data base.

Whenever any certificate is issued, it is entered in the Certification Service's data base of certificates, whence the corresponding data are immediately copied to ZAG's publicly accessible web pages.

3.15.2 Validity of certificates

The validity of all certificates is limited, the longest period for which any certificate may be valid being 5 years. In the case of technical specifications which themselves have a fixed date of validity (e.g. STS's) the validity of any certificate is limited by the date of validity of the technical specification concerned.

Upon condition that the holder of a certificate submits an application for the extension of the validity of a certificate in sufficient time, this validity may be extended, the certificate's number remaining unchanged. If the applicant does not submit such an application in sufficient time a new certificate shall be issued (with a new number).

It shall be considered that an application for the extension of the validity of a certificate has been

submitted in sufficient time if a written application is submitted, in the first case, before the validity of the certificate runs out, or, in the second case, within a period of 3 months after the validity of the certificate has run out. A record of an inspection may also be considered as a suitable written application.

4. Activities for the maintenance of the validity of a certificate

Within the framework of the maintenance of the validity of certificates, the Certification Body will monitor any changes in the legal or technical basis for the issued certificate, and shall also perform the surveillance of rules for the issuing of the certificate, as determined in the contract. Apart from this, in some certification schemes, technical specifications and contracts it is foreseen that certain additional activities shall be performed with regard to the attestation of conformity. These activities most frequently include the performance of audit tests, surveillance, and the assessment and attestation of factory production control or quality management systems.

4.1 Surveillance, assessment and approval of products and factory production control / quality management systems

Inspections of the factory and of factory production control, as well as, in the case of certain technical specifications included in the AVCP System 1+, external audit tests, form constituent parts of surveillance, whose purposes are the following:

- to ensure constant conformity of the conformity of the product with the requirements of the technical specification, and:
- to determine changes in the production or properties of the product, with respect to the state determine during the initial inspection of factory and factory production control.

Regular surveillance with the verification of factory production control will be performed by the Certification Body in regular time intervals, and if necessary extraordinary surveillance will be performed. If the result of factory production control is a positive evaluation the certification Body will extend the validity of an issued Certificate, whereas in the case of a negative evaluation the Certification Body will implement sanctions whose severity will correspond to the seriousness of the detected non-conformities.

In the case of surveillance the adequacy of factory production control will be verified according to the same criteria as were used at the time of the initial inspection of factory and factory production control, taking into account in particular any determined changes and deviations from the results and conclusions of the initial inspection.

4.1.1 Regular inspections of factory and of factory production control or quality management systems

The frequency of regular inspections is defined in the certification scheme or in the technical approval. In the case of voluntary certification such frequency can be defined in the contract about

the license to use a certificate and/or mark of conformity.

In the case of regular inspections, apart from the basic elements of surveillance, the following elements shall also be verified and evaluated:

- the current scope of products,
- any changes with respect to the state determined at the time of the previous inspection,
- the effectiveness of implemented corrective actions defined in the previous inspection,
- management of the documents concerning factory production control,
- the adequacy of the training of personnel,
- regular and correct performance of all tasks involved in factory production control,
- the frequency of the performance of tasks involved in factory production control,
- the condition of the monitoring, measurement and testing equipment,
- evaluation of the results of tests,
- records about the performance if tests, measurements and calculations,
- records about customers' complaints, non-conformities and corrective actions,
- the marking of products and the use of the certificate and the reference to the notified body number (marks affixed to products, declarations about the properties of products).

Apart from all of the above, in the case of the AVCP system 1+, and in the case of special systems such as concrete, it is necessary to take samples for external audit testing.

In the case of regular inspections it is necessary to fill in the appropriate questionnaire with all findings.

Extension of the scope of certificated products, or of the scope of certified factory production control, may also be dealt with at the time of a regular inspection.

4.1.2 Extraordinary inspections of factory and of factory production control or quality management systems

Extraordinary inspections shall be performed in at least the following cases:

- in the case of any changes in the technological process which could have a significant effect on the important properties of the product,
- in the case of any changes in the quality management system which could have a significant effect on the important properties of the product,
- after corrective actions have been performed, if such measures have been required by a report about surveillance.

Extraordinary inspections shall be performed in the same way as regular inspections, the difference being that they can be performed only in a limited scope. The scope of any extraordinary

inspection shall be defined by the authorized person. The costs of extraordinary inspections shall be defined taking into account the scope of the inspection.

4.1.3 Regular surveillance in the case of duplicate certificates

In the case that applicants for a certificate which apply for certification on the basis of initial tests of other business entity and on the basis of the inspection carried out at the production plant of another business entity (where the inspection is already being performed), the inspection is performed in a way that certification service obtain all relevant information and documents for carrying out the evaluation from the applicant for certificate:

- findings at the inspection at the production plant and of the production control that is already being performed for another business entity,
- findings from the review of the contractual relationships between the applicant for certification and the production facility and the applicant for a certificate and the owner of initial test reports,
- findings from the review of the documentation submitted,
- findings of the review of the information provided.

In the cases when all relevant elements of production control can be inspected in the production plant itself, the inspection at applicant's facilities is not needed. If, on the other hand, due to the nature of the product or any additional influences on the constancy of performance of product, all relevant elements of production control cannot be checked, the inspection at applicant's premises is needed. During this procedure technical specifications and positions of the notified bodies are taken into account.

4.2 External auditing tests (AVCP system 1+ and concrete)

In the case of AVCP System 1+ and of certain individual specifications (e.g. concrete) a third party shall perform the taking of representative samples and external audit tests for the purpose of confirming the constancy of performance of the product.

4.2.1 Sampling and the performance of external audit tests

All samples for external audit testing of the prescribed properties of the product shall be taken at random, chiefly at the production plant, but also, if deemed to be appropriate, at the producer's storage facility. Such samples shall be taken at the frequency which is prescribed in the technical specification.

Sampling and testing shall be performed in accordance with the method which is prescribed in the relevant technical specification / certification scheme.

The sample shall be delivered by the authorized person to the selected testing laboratory at ZAG, or, if this is not possible, to another testing laboratory. In the case of the use of a sub-contracted

testing laboratory, the client should be informed in advance. The testing laboratory shall perform the prescribed tests and/or calculations in accordance with the methods defined in the certification scheme / technical specification. The scope of such tests shall be defined by the authorized person. In the case that, when the sample is taken, any kind of damage is observed, or that the sample is found to be in any way defective, the testing laboratory shall immediately inform the authorized person about such an occurrence. The latter will then inform the responsible representative of the licensee about this. After any test has been performed, the corresponding laboratory shall issue a report in accordance with the procedure which applies in this particular laboratory.

4.2.1.1 Testing in the facilities outside the testing laboratory of the certification body (not applicable to harmonised certification procedures according to CPR)

Whenever, for technical, economic or logistical reasons, the performance of individual certification activities in one or more of ZAG's laboratories cannot be justified, tests may be performed either in the production plants of the producer, or in external laboratories with the use of the producer's testing equipment. In this case the authorized person shall supervise the performance of the testing procedure, and shall prepare a corresponding report.

4.2.2 Evaluation of the results of external audit tests

Each result of an external audit test shall be compared with the prescribed value of the test characteristic of the product or with the declared value during product type determination. If the number of tests to be carried out so permits, such comparisons should be based on a corresponding statistical test. In reports about the performance of an individual audit test the required value needs to be defined, and whether the result of the external audit test satisfies this value.

4.3 Actions to be taken in the case of the detection of non-conformities during surveillance

If one or more non-conformities are detected during the *external audit testing of a product*, then a report shall be sent by the Certification Service to the client about the tests performed, including a description of the detected non-conformity or non-conformities, and the date by which it/they shall be eliminated, the deadline for such elimination being no longer than 6 months. Within this period the client must deliver written proof that the necessary corrections have been implemented, and necessary corrective actions undertaken. These actions shall be such that deal with the management of all products where a non-conformity (or non-conformities) has been detected in an external audit test. The implementation of corrective actions shall be verified by means of a partial or full repetition of the external audit test.

If one or more non-conformities are detected *during a regular or extraordinary inspection of factory*

and factory production control, then the client shall, within the agreed deadline, which shall be no longer than 6 months, submit to the certification body ZAG a written description of how the non-conformities have been eliminated (the manufacturer's report about corrections that have been made and corrective actions that have been implemented). The authorized person shall inspect each such report about the manner in which non-conformities are to be eliminated and, taking into account the degree of importance of individual non-conformities, may decide in any of the following ways:

- that the implementation and effectiveness of the corrective actions should be verified in the factory,
- that certain parts of the regular or extraordinary inspection of factory and of factory production control should be repeated,
- that the submitted written proof about the elimination of non-conformities (the manufacturer's report about corrections that have been made and corrective actions that have been implemented) is sufficient).

If the non-conformities detected during the inspection repeat themselves, or if the licensee does not observe the deadline for the elimination of non-conformities, as defined in the corresponding notification, then sanctions shall be implemented.

In the case that the producer finds that it is not possible to eliminate the detected non-conformities within the agreed period, then he may apply for an extension of the agreed deadline. The proposed extension will be examined by the authorized person, who shall examine the proposal and notify the client in writing about his decision. The final deadline for the elimination of detected non-conformities shall be no longer than 6 months.

4.4 Evaluation of the findings from the surveillance of a product or of factory production control

Evaluation of the findings from the surveillance of a product represents an estimate of the continuing conformity / constancy of performance of a product with respect to the requirements of a certification scheme / technical specification. It is based on the findings of a regular / extraordinary inspection and, if so prescribed, by the results of external audit tests.

Changes and extensions to the scope of certification may also be taken into account within the evaluation of findings from surveillance. Such changes and extensions shall be dealt with by the authorized person in his / her report about surveillance.

4.5 Decisions made by the Head of the Certification Service

Decisions about the issuing or non-issuing of a certificate, about the cancellation of a certificate, about any change including changes to the scope of certification, and about the temporary or partial suspension of an already issued certificate, as well as decisions about the temporary or

permanent withdrawal of a certificate (all of which are referred to in the text which follows as "Decisions"), are made by the Head of the Certification Service.

All data in connection with surveillance procedures shall be inspected by representatives of the Certification Service, and a corresponding decision will be prepared. The latter shall contain data about the client and the production plant, as well as about the type of certificate, the technical specification, the title of the product and scope of products, the validity and conditions for validity of the certificate. Decisions which include sanctions shall contain the legal remedy that clients can submit a complaint about the decision within a period of 15 days.

4.5.1 Suspension and withdrawal of certificates

The holder of a certificate may request that the certificate be suspended or permanently withdrawn if the production of a certificated product is halted. Temporary suspension may last for a period of, at the longest, 24 months. If, at the end of this period, the reasons for temporary suspension still exist, the Head of the Certification Service will make a decision about the permanent withdrawal of the certificate, and notify the certificate-holder about this in writing.

A certificate may be suspended on a temporary basis for a period of up to 12 months. If, at the end of this period, the reasons for temporary suspension have not ceased to be valid, Head of the Certification Service will make a decision about the permanent withdrawal of the certificate, and notify the certificate-holder about this in writing.

Taking into account its findings the Certification Body will determine the type of suspension, i.e. temporary suspension or withdrawal, and will notify the licensee in writing about the following:

- the reason for the suspension / withdrawal of the certificate (not taking into account contractual obligations, the non-elimination of non-conformities, etc.),
- that further use of the suspended / withdrawn certificate is forbidden,
- that it is necessary to return the permanently withdrawn certificate including all copies,
- the requirement that the certificate-holder notifies all customers about such a suspension / withdrawal in writing.

After a certificate has been suspended it may not be used until further notice. If the certificate-holder submits a complaint about such a suspension or withdrawal then the Head of the Certification Service may delay the start of the period of suspension or withdrawal (temporary or partial). The approval of such a delay shall depend on the nature of the case which is being treated.

Based on consultation with an authorized person, the Head of the Certification Service shall decide what to do about the products which have been manufactured during the period from the detection of the non-conformity or non-conformities, i.e. from the date of the observed occurrence of the reason for temporary suspension, up to the temporary suspension of the certificate.

4.6 Surveillance of the correct use of certificates and references to the certification body for individual products, and publications made by licence-holders

Within the scope of surveillance, and when verifying whether or not a product is correctly marked, the authorized person shall verify the correct use of the relevant certificate and correct reference to notify body number. The following shall be verified on samples of randomly chosen products:

- is the marked product covered by the certificate to which reference is made?
- is such a reference in accordance with the certification scheme, together with the relevant standard, or in accordance with the technical approval / assessment?
- do the declared properties of the product, given on the product or on an attached label, agree with those which the licence-holder declared on the occasion of surveillance?

The correct use of certificates in documents that have been made public by the producer shall be verified by the authorized person on the occasion of the performance of the inspection of factory and factory production control. If it is found that the certificate has not been correctly used this shall be treated as a non-conformity.

In the case of products for which the licence-holder has obtained a corresponding certificate or certificates, the latter shall be entitled to publish this fact. However, he shall clearly limit such publications to those products, only, to which the issued certificate or certificates refer. As a certification body ZAG will periodically perform surveillance of such published data, as follows:

- monitoring of printed information,
- monitoring of catalogues issued by producers, and their web pages,
- monitoring of information published at trade fairs and on similar occasions.

In the case of the detection of incorrect (misleading) published information about certificates, the certification body will implement sanctions against the publisher of such information.

5. Changes in certification and extension of the scope of certification

Changes in certification and extension of the scope of certification may be implemented on the occasion of a regular inspection or at any time between two inspections. Such changes and extensions shall be requested by the licence-holder in writing. If such changes have an effect on the content of the provisions of the contract, then it will be necessary to conclude an annex to the contract about the use of a certificate, in which the requested changes are defined.

In cases when only formal changes are involved, such as:

- a change in the title or address of the licensee,
- a change in the title of the product, etc.

the certificate shall be issued anew under the same number.

In the case when such changes are not just of a formal nature, the procedure described in the text which follows shall be followed.

5.1 Changes in the certified product

In the case of a change to a certificated product, the licensee shall notify the Certification Body about all changes that may have occurred with the introduction of the new product.

Certification body shall inspect the changes, and determine the scope of the initial testing of the product, and the method of verifying the adequacy of factory production control.

All data in connection with the changes shall be inspected in the Certification Service, and a decision will be prepared. The Head of the Certification Service shall then make a decision. The old certificate shall be withdrawn, and a new certificate for the changed product or products will be issued.

5.2 Extension of the scope of certification

If the Licensee wishes to obtain a certificate for a new product, which is manufactured according to the same standard or according to a similar standard to that which applied to another of the Licensee's products for which a certificate has already been issued, the usual procedure which has to be carried out before a certificate can be issue, but without the need to perform an initial inspection of factory and factory production control. Instead of this, the authorized person can assess whether the findings from the previous inspection of factory and factory production control are representative for the new product, too. If the findings are not representative for the new product, then it is necessary to perform a regular or an extraordinary inspection of factory and factory production control, and to summarize these findings in a conformity evaluation report for the new product.

All documents in connection with proposed changes will be inspected by the staff of the Certification Service, and then, taking into account their conclusions, a decision about the issuing of a certificate will be prepared, which will be taken by the Head of the Certification Service.

5.3 Extension of the scope of factory production control

If the holder of a license for the use of a certificate of factory production control wishes to extend the scope of this control in such a way that it would include the control of new products or new production lines, then the authorized person shall assess whether the findings from the previous inspection of factory and factory production control are representative for the new product or production line, and whether the licence-holder has available all necessary results of initial tests of the new products. If this is not the case then an extraordinary inspection of factory production control shall be performed, or else it will be necessary to wait until, the next regular inspection. In the case when all necessary conditions are fulfilled the authorized person shall propose to the Certification service that a new decision be taken and a new certificate be issued.

The proposal of the authorized person will be inspected in the Certification Service, and taking into the conclusions which it contains, a decision will be taken by the Head of the Certification Service.

5.4 Transfer of a certificate to another legal entity

In the case that the holder of a licence to use a certificate wishes to transfer a certificated product or factory production control to another legal entity, which is not the legal successor of the licensee, then a contract shall be concluded with the new holder of the licence, the old certificates shall be withdrawn, and new certificates shall be issued. The basis, in this case, for decisions about the issuing of certificates, shall consist of the evaluation that was prepared on the basis of the most recent report about surveillance. Questions involving the right to such a transfer shall be settled, in advance, by the new and old licence-holders.

6. Sanctions which may be applied in the case of detected non-conformities

The following sanctions may be applied:

- *a first warning*, if the violations are of minor severity,
- *a second warning*, if the violations are of medium severity,
- *a temporary suspension of an already issued certificate* (e.g. a temporary suspension of the license to use a certificate of conformity and/or mark of conformity, or a temporary suspension to be applied to a certain quantity or lot of a product or products, or for a certain period of production), if the violations are severe,
- *withdrawal of the certificate,* if the violations are very severe.

First and second warnings shall be signed by the authorized person. Decisions about the temporary or partial suspension of an already issued certificate, as well as decisions about the withdrawal of a certificate, shall be signed by the Head of the Certification Service.

With regard to the actions which need to be taken in the case of determined violations, the guidance given in Annex 2 of this procedure shall be followed, except in particular cases where other solutions are foreseen by the relevant technical specification or certification scheme.

6.1 Increasing of sanctions

If the holder of a certificate does not eliminate the reasons for the application of sanctions by the set deadline, the degree of the applied sanction may be successively increased. With regard to this procedure, i.e. the responsibilities involved, the conditions for the publication of the suspension or withdrawal of a certificate, and the possible submission of appeals against decisions about the implementation of sanctions, the same rules shall apply as those valid at the time of implementation of the sanction.

7. Marking of products

7.1 General

The purpose of marking of products is:

- to ensure that legal requirements are met,
- to ensure that certificated products are easily recognizable, and:
- to ensure the traceability of products.

The marking of products can be performed by the manufacturer, by the latter's representative, or by the importer (supplier). Certificated products shall be marked:

- with the correct mark,
- in a way which does not mislead the general public, and
- in a way which distinguishes certificated products from non-certificated products.

Products can be marked with obligatory and/or voluntary marks of conformity. The marking of products with marks of conformity shall be prescribed in the corresponding certification scheme or technical specification of the product concerned. The mark of conformity can be located on the product itself, on the corresponding label, on the packaging documents, or on the delivery documents. It must be fixed or attached in such a way that it can be easily and clearly seen, and that it cannot be erased.

The use of certificates, conformity mark and reference to the certification body is regularly monitored,

7.2 The use of certificates and reference to the certification body

7.2.1 Regulated field - general

The licensee who has obtained certificate at certification body ZAG has right to use the certificate for the mandatory labeling of products as well as the issue of the Declaration of performance or a Declaration of Conformity in accordance with the provisions of the legislation. The certificate may only be used for those products and processes that are included in the scope of the certificate. The scope of the certificate and the eventual additional terms and conditions are more precisely specified in the decision. Reference to the certificate is allowed only with an indication of the entire number of the certificate (for example: 1404 - CPR - 1234 or REG2-0004-03 - ZGPro-1-1234, ...).

Reference to the certification body is allowed as the entire title or abbreviated form (Slovenian National Building and Civil Engineering Institute or ZAG Ljubljana) and on the harmonized area additionally with the number of the notified body (NB 1404).

7.2.1.1. Declarations of performance

Declarations of performance are documents by means of which producers of construction products state, in a clear and well-organized way, the properties of such products in connection with their

essential characteristics. In the case of the harmonized field of construction products the content of the "Declaration of Performance" is defined in Article 6 of the EU Regulation No. 305/2011 (the Construction Products Regulation). In the national field the content of the declaration is defined in Article 6 of ZGPro-1 (the Slovenian Construction Products Act).

A copy of the "Declaration of Performance" shall be made available by the Licensee in the case of each and every product which is put on the market, either in printed form, or electronically. In the case of the harmonized field of construction products, the "Declaration of Performance" can be made available electronically, in accordance with the provisions of EU Regulation No. 157/2014.

In the case of products which are placed on the market in Slovenia, the "Declaration about Properties" must be written in the Slovenian language.

7.2.1.2 Mandatory marking of products

7.2.1.2.1 CE marking

The CE mark shall be visibly, legibly, and indelibly affixed to construction products, or to the labels attached to them. This is the case for all construction products for which harmonized technical specifications exist, and for which the producer has prepared a "Declaration of Performance". Whenever, due to the nature of the product, it is either impossible or infeasible to affix the mark to the product itself, the mark shall be affixed to the packaging or attached documents. Whenever the CE mark is affixed to a construction product, the producer assumes all responsibility for the conformity of the product with its stated properties, and for its conformity with all valid requirements as defined in the EU Regulation No. 305/2011 (CPR). In the case of CE marking, the provisions of EU Regulation No. 765/2008 shall apply.

The CE mark consists of (1) the CE logo, and (2) all additional data which have to be supplied in accordance with the provisions of each harmonized technical specification, while also being generally defined by the provisions of Article 9 of the EU Regulation No. 305/2011.

A list of all valid harmonized technical specifications for construction products, together with the dates upon which they became applicable, and the dates upon which their use became mandatory(meaning that from this day onwards the product concerned has to have CE marking) is published and updated in the Official Journal of the EU, as well as on the "Nando" portal.

7.2.1.2.2 UN code

The UN code shall be used to mark packaging for the transportation of dangerous goods as defined by the Law about the Transportation of Dangerous Goods (ZPNB).

7.2.2 Voluntary area – general

In the field of voluntary (non-mandatory) certification, manufacturers may mark their products with the ZAG mark of conformity, or with other voluntary marks of conformity, but only on condition that the certification body ZAG has concluded a prior agreement with the owner of such a mark.

Products may be marked using voluntary marks of conformity on the basis of implemented voluntary certification and a signed licensing agreement for the use of certificates of conformity and marks of conformity. Voluntary certification is always performed at the initiative of the manufacturer who wishes to demonstrate the added value of a product, on the basis of:

- the voluntary part of a harmonized standard,
- the voluntary part of a European or Slovenian Technical Assessment or Approval,
- a voluntary Slovenian, European, or international standard, or any kind of national standard.

Before any voluntary certification procedure can be initiated, the certification body ZAG will verify whether or not the requirements of the valid legislation (CPR / ZGPro-1) for the issuing of a "Declaration of Performance" are fulfilled. This means that the following tasks shall have already been performed: (1) in the case of any harmonized standard, the tasks defined in Annex ZA; or (2) in the case of any technical approval or assessment, the tasks defined in the point entitled "Assessment and verification of the constancy of performance"; or (3) in the case of any national standard the tasks defined in the point "Attestation of conformity". In the case of any other applicable and publicly accessible technical specification in conformity with ZGPro-1, the certification body ZAG will exceptionally determine whether or not the equivalent requirements for the issuing of a "Declaration of Performance" are fulfilled.

7.2.2.1 The ZAG mark of conformity

The ZAG mark of conformity consists of:

- the ZAG logo,
- the number of the certificate.

When affixing the ZAG mark of conformity, the manufacturer must take into account the rules for the use of the ZAG mark of conformity, which are given in Annex 1 to this procedure.

7.2.2.2 Other voluntary marks of conformity

Manufacturers may mark their products with other marks of conformity, but only on condition that ZAG has concluded a prior agreement with the owner of such a mark of conformity.

7.5.3 Use of voluntary certificates and marks of conformity in the case of regulated products

In the case when a voluntary mark or marks of conformity is/are to be used together with the CE mark, licence-holders shall affix such a voluntary mark to the relevant products in such a way that it can be clearly distinguished from the CE mark as prescribed by the provisions of EU Regulation No. 765/2008. The following two provisions shall also be taken into account:

- that the voluntary mark of conformity is smaller than the CE mark,
- that all marks of conformity are affixed to the same side of the product (i.e. it is not permissible for one mark to be affixed to the front side of the product, and another to the rear

side).

Use of voluntary certificates and marks of conformity for the purpose of statement of compliance with regulatory requirements is not allowed. Reference to voluntary certificates and marks of conformity and a reference to the ZAG in connection with voluntary certificates for the purpose of the Declaration of performance and CE marking are not allowed.

8. Documents of the Group of Notified Bodies

In evaluation procedures, as well as in regular surveillance procedures on the basis of a harmonized technical specification, the provisions of generally accepted position papers, as well as those of specific position papers of the relevant sector group of notified bodies (GNB-CPR), shall be taken into account.

9. Publicly accessible information and confidentiality

Within the scope of a certification procedure, up until the time when any decision is taken all documents which may have arisen during such a procedure shall be treated as confidential. All relevant documents prepared by the certification body ZAG shall be delivered *to the applicant for certification only*, or to his appointed representative. They will be despatched from the Certification Body by regular mail to the address given on the application form, or in the contract, or in any written authorization supplied by the applicant / client. Subject to the obtaining of an adequate written agreement from the applicant / client, the certification body may despatch any of the above-described documents to any interested third party.

A list of all issued certificates with the recognized status of being "valid" shall be maintained by the Certification Body on ZAG's publicly accessible web pages. Information about certificates with any status other than "valid" will be supplied by the Certification Body upon submission of a request for such information by any interested party. The giving of permission to make public the status of a certificate is one of the provisions of the contract between the licensee and the certification body.

All decisions made by the Certification Body, as well as all certificates, are documents which contain publicly accessible information, which the Certification Body may, at the request of any interested party, deliver or publish. Decisions and certificates will be despatched from the Certification Service by recorded delivery to the address given on the application form, or in the contract, or in any written authorization supplied by the applicant / client.

If a legitimate request is received from any competent state body, the Certification Service will despatch copies of issued documents to these bodies, but will nevertheless notify the client before doing so, unless the sending of such a notification has been expressly forbidden by the body concerned.

10. Complaints and appeals

Applicants and clients may submit a complaint against the issuing, content, and/or asserted accuracy of data in any issued document. Equally, appeals can be made against decisions about the non-issuing of a certificate, as well as about the cancellation of a certificate, about changes to a certificate, about changes to the scope of certification, about the temporary or permanent suspension of a certificate, and about the temporary or permanent withdrawal of a certificate. Complaints and appeals shall be considered based on the provisions of ZAG's corresponding internal procedure P.S. 20-001: "Complaints and appeals".

11. Annexes

Annex 1: Rules for the use of the ZAG mark of conformity.

Annex 2: Guidance regarding cases when sanctions may be applied.

Annex 1: Rules for the use of the ZAG mark of conformity

(1) The typography

The typography to be used in the mark is as follows:

- For the number of the certificate - Arial.

(2) Colour variant of the mark

(a) The colours to be used for printing are: blue - Panton e 294C; gray – Pantone Cool Gray 4 or Pantone CoolGray 9 - 40% raster or Black 30%.

(b) The choice of the size of the mark can, in all other respects, is unlimited and can be adjusted to suit the remaining elements of the graphic equipment of the product. The only rule that needs to be strictly kept to is that, as the size of the mark is increased, the size of all of the elements of the mark shall be increased in the same proportion.

(3) Single-coloured variant of the mark

(a) In its single-coloured variant, the mark is printed in a 30% raster. The number of the certificate in 100% black colour.

(b) The choice of the size of the single-coloured variant of the mark shall the follow the rule given in Point 2(b).

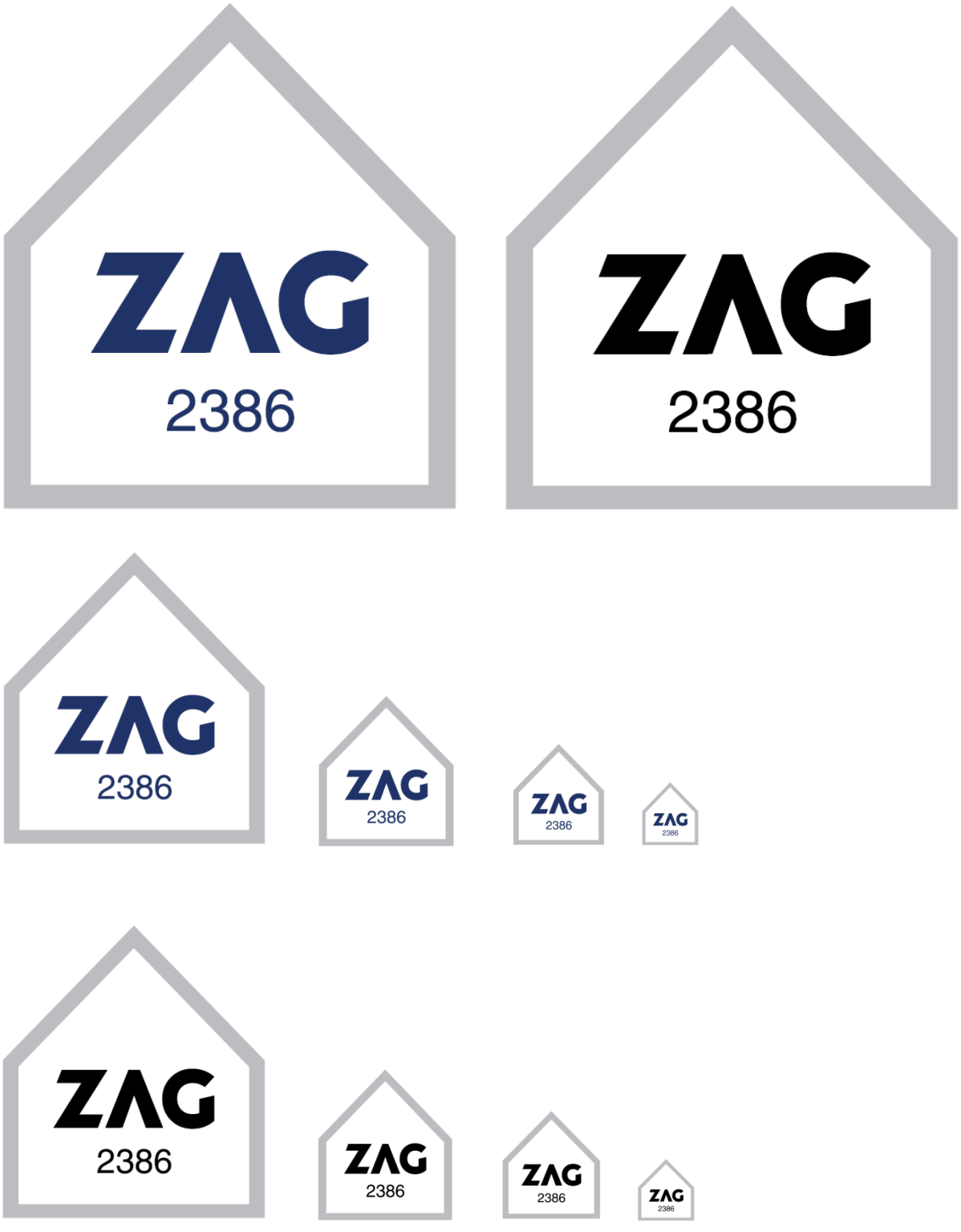
(4) The mark as a stamp or relief print

In cases where products are to be marked directly, a variant involving an outlined mark can be used. In this case the following rules shall be followed:

(a) The smallest permissible size of the mark - measured along its height - is 10 mm.

(b) The choice of the size of the outlined mark depends mainly on the material from which the product is made, and on the size of the product itself. The basic criterion is that the mark should be sufficiently visible and well-formed.

Examples of ZAG mark of conformity:



Annex 2: Guidance regarding cases when sanctions may be applied

1. ***A first warning*, if the violations are of minor severity:**
   - the deadline for the elimination of a non-conformity has been missed in the case of regular or extraordinary surveillance,
   - the deadline for the payment of contractual obligations has been missed,
   - the certificate or mark of conformity has been used in an erroneous or misleading way,
   - the deadline for the performance of regular or extraordinary surveillance has been missed due to reasons for the which the licensee is responsible,
   - the finding that during surveillance non-conformities are repeating themselves.
2. ***A second warning*, if the violations are of medium severity:**
   - the deadline for the elimination of the reasons which resulted in the issuing of a *First Warning* is missed.
3. ***A temporary suspension of an already issued certificate,* if the violations are severe:**
   - the deadline for the implementation of the requirements of a changed certificate scheme is missed,
   - the deadline for the elimination of the reasons which resulted in the issuing of a *Second Warning* is missed,
   - in the case of a regular or extraordinary surveillance, non-conformities are found to be such that they could affect safety of the product, or, in the case of construction products, the safety of structures in which such products might be installed.
4. ***Withdrawal of the certificate,* if the violations are very severe:**
   - the licensee does not agree with any changes that have been made to the certification scheme or technical specification,
   - the licensee misses the deadline for the elimination of the reasons which resulted in the application of the sanction: "*Temporary Suspension*",
   - the performance of surveillance, as foreseen in the contract, is infeasible,
   - a situation occurs in which immediate suspension of a certificate is required by the certification scheme or technical specification, or else other situations in which the non-conformities are substantial and threaten the safety of the product, or, in the case of construction products, the safety of structures in which such products might be installed.