

 PRS Certification	Index: PCW-01	Revision: 29.03.2017	Page: 1/18
PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES			
Developed by: Jakub Dering		Approved by: Przemysław Gałka	

1. GENERAL INFORMATION

Product Certification Bureau (CW) is an independent organizational unit in the structure of the Polish Register of Shipping (PRS) with the purpose of conducting, as a leading unit, product certification processes based on accreditation No. AC 114 granted by the Polish Centre for Accreditation.

Detailed scope of accreditation of the product certification body No. 114 (PL-VG-0013 for EU ETS) is available at the webpage www.pca.gov.pl and in the unit premises.

2. DOCUMENT SUBJECT

In this document, general guidelines and procedures for the product certification and conformity assessment scheme used in the Product Certification Bureau of the Polish Register of Shipping have been defined.

It applies to product certification and conformity assessment for compliance with the requirements of the Polish, European and international standards and the requirements of specific regulations, such as the Rules for sea-going ships issued by PRS.

It applies to certification and conformity assessment programs for specified product groups aimed at confirmation of conformity with specified requirements (standards, criteria, legal regulations, etc.).

This scheme (developed under PN-EN ISO/IEC 17067:2014-04) is the basis for the development of certification programs for individual groups of products certified by the Product Certification Bureau.

Detailed requirements for the certification of factory production control are described in the Guidelines for the certification of factory production control, requirements for the manufacturers of construction products used in certification processes.

Any product certification programs and the description of financial resources of the unit, information on fees charged on Customers are available on request.

Requirements being the basis for the certified products assessment, which require additional explanation, are made available at request. They are formulated by impartial persons having necessary technical competences.

The rights and obligations of the Applicants and Customers are maintained and made available at request.

3. DEFINITIONS

Product certification – a process, performed under accreditation of the Polish Centre for Accreditation (PCA), aimed at confirming compliance with the requirements of standards and other reference documents defined within the scope of accreditation and issuing conformity certificate with PCA logo.



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

Conformity assessment – process, based on the notification made by the Government of the Republic of Poland in the European Union, aimed at confirming compliance with European Union directives and issuing appropriate certificates or other documents of compliance defined in EU directives.

Appeal – request of Manufacturer/Applicant non-accepting a decision or actions taken by PRS for re-consideration of the matter and changing or revoking the made decision or document.

Complaint – information submitted by an external Client (or reservation reported by the Client, e.g. with regard to audit/inspection performance, the price for offered services) concerning the service executed by the Product Certification Bureau, which is not an appeal.

Claim – information submitted to the certified product Manufacturer by the Client expressing its dissatisfaction with the product quality.

4. CERTIFICATION SCHEME

Polish Register of Shipping carries out product certification on the basis of:

- act of 13 April 2016 on the conformity assessment and market surveillance systems – text Journal of Laws 2016, item 542;
- PN-EN ISO/IEC 17065:2013-03 Standard: Conformity assessment – Requirements for bodies certifying products, processes and services;
- PN-EN ISO/IEC 17020:2012 Standard: Conformity assessment – Requirements for the operation of various types of bodies performing inspection
- PN-EN ISO/IEC 17021:2011 Standard: Conformity assessment – Requirements for bodies providing audit and certification of management systems;
- PN-EN ISO/IEC 17067:2014-01 Standard: Conformity assessment -- Fundamentals of product certification and guidelines for product certification schemes

5. PROCEEDINGS

5.1 Scope of Product Certification and Conformity Assessment

5.1.1 PRS carries out **voluntary** certification of products for conformity with the requirements established in Polish Standards, standards of other countries, international standards, directives, technical criteria and other normative documents, relevant for the considered product, complying with the requirements of the rules concerning certification within the accreditation of the product certification body No. AC 114.

PRS provides also **mandatory** certification of products for conformity with the below regulations:

- the Regulation (EU) of European Parliament and of the Council No. 305/2011 laying down harmonized conditions for the marketing of construction products (FPC),
- the Regulation (EU) of the Commission No. 600/2012 on the verification of greenhouse gas emission reports and tonne-kilometre reports (EU ETS).



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

PRS performs also conformity assessment for compliance with the below directives:

- 2014/90/EU Directive on Marine Equipment;
- 2013/53/EU Directive on Recreational Craft,
- 2014/68/EU Directive on Pressure Equipment;
- 2014/29/EU Directive on Simple Pressure Vessels;
- 2014/40/EU Directive on Electromagnetic Compatibility;
- 2006/42/EC Directive on Machinery (without PCA notification and accreditation)

5.1.2 Certification and conformity assessment confirming fulfilling specified requirements by products is based on the product certification schemes type 3 and 1b, acc. to PN-EN ISO/IEC 17067:2014-01 „Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes”, where:

5.1.2.1 type 3 covers examination and supervision regarding assessment of production process.

Elements of the scheme:

- a) selection,
- b) determination of characteristics by testing,
- c) initial assessment of production process,
- d) review by determination whether the results of initial assessment of production process or quality system and initial testing fulfil specified requirements,
- e) decision on certification/conformity assessment,
- f) issue of certificate,
- g) surveillance by testing or inspection of samples at the manufacturer and assessment of production process.

PRS defines the principles of taking samples for testing, including the sample size. Testing is performed by testing laboratories accredited by PCA or approved by Polish Register of Shipping, whose competences have been assessed according to requirements of PN-EN ISO/IEC 17025 Standard.

Polish Register of Shipping defines in the contract concluded with subcontractors the principles of cooperation, including taking and identification of samples and confidentiality principles. PRS determines approval of testing reports validity on a case basis, regarding the product and testing nature.

The relationship of product certification schemes and product groups and criteria standards or documents, being the basis for testing and assessment / certification is specified on the webpage www.pca.gov.pl (scope of accreditation of product certification body No. AC 114).

5.1.2.2 type 1a covers testing and evaluation of samples taken from the product batch.

Elements of the scheme:

- a) selection,
- b) determination of characteristics by testing,



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

- c) review by determination whether the results of initial assessment and initial testing fulfil specified requirements,
- d) decision on certification/conformity assessment,
- e) issue of certificate.

PRS approves testing reports from laboratories accredited by PCA or approved by PRS, in result of performed assessment, being subcontractors of Polish Register of Shipping. Information on testing laboratories whose reports PRS approves during certification processes, are made available at request. Test samples are taken and identified by laboratories being PRS subcontractors, within the scope of own accreditation and procedures, and agreements with PRS Product Certification Bureau. Samples can be taken by the manufacturer by reported commission sample taking, under conditions agreed with PRS. Sample taking shall cover all population of products.

PRS also allows for approval of a test report performed by a foreign, accredited laboratory on the basis of mutual approval of reports in EU, after checking the scope of testing and validity of accreditation.

The certification body determines the approval of the validity of test reports on a case basis, considering the product and testing specifics.

PRS approves laboratories performing testing and measurements used by the Product Certification Bureau (CW) in the certification processes, for conformity with IC-01 – Instructions for Laboratories Approval. CW maintains a list of, and carries out supervision of, laboratories to whom the testing is subcontracted. The Client is informed on the case of subcontracting the testing in the process of certification, in the certification/conformity assessment offer.

Certificate in the system 1b is issued without time-limit for each product represented by the sample. The contract concluded with the Client defines conditions of using certificates or certification marks, including Client's obligation to provide information on any changes in the product, manufacturing system or ownership.

PRS supervises the use of issued certificates by monitoring the Client's website, product market and complaints and claims against the Client, etc.

In the case any Client's breach of the conditions specified in the contract has been ascertained, PRS takes actions in accordance with principles described in paragraph 5.11 of these General Principles of Certification. The relationship of certification schemes with product groups and criteria standards or documents, being the basis for testing and certification process is described at the webpage www.pca.gov.pl (scope of accreditation of the product certification body No. AC 114).

Individual elements of certification, conformity assessment and surveillance process are described below.

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES****5.2 Applying for certification and conformity assessment**

5.2.1 All parties interested in certification receive, during talks with employees of the Product Certification Bureau, information on the legal requirements, certification principles and proceedings. At the inquiry concerning certification, the CW Manager transfers to the Applicant Form 1/PCW-OCZ-OCN – *Application for Product Certification/Application for FPC Certification*, as well as general information concerning certification conditions. Irrespective of the above records, the CW Manager may transfer the inquiry to appropriate expert, what is confirmed by directing.

The Application does not constitute an obligation to use PRS services, it is only the basis for an offer preparation. Basic forms related to certification/conformity assessment process are also available on the website www.prs.pl.

5.2.2 Completed *Application* is the basis for developing complex certification or conformity assessment offer. The Application includes requested scope of certification and information necessary for the assessment of products which are to be certified. The Applicant enters also its name, address and legal status and specifies products to be certified, scope of certification, certification scheme and standards to be the basis for certification.

5.2.3 Completed *Application* is transferred by the Applicant to CW Manager for registration and review, which includes checking:

- completeness of information indispensable for offer preparation,
- whether PRS is accredited to the requested scope of certification/conformity assessment,
- if the certification/ conformity assessment requirements are clearly defined and understood,
- if PRS has the possibility of carrying out certification/ conformity assessment in relation to the scope, location and other conditions,
- whether PRS has competent personnel to execute certification/ conformity assessment process,
- if PRS has signed appropriate contracts with external subcontractors (laboratories),
- if any known differences in understanding of issues between certifying body and the Client, including agreeing standards or other normative documents, have been resolved.

Subsequently the *Application* is transferred to relevant expert for the offer/contract preparation, in accordance with 5.3.

5.2.4 Where receiving of completed *Application for product certification* is difficult, it is possible to prepare the offer without the *Application*. This shall be noted down in the *Form 5/PCW-01 Review and execution of product certification request*.

5.2.5 Where the Application for certification/ conformity assessment includes:

- product type, or
- normative reference, or
- certification scheme,



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

which has not been previously experienced by the Product Certification Bureau, the possibility of carrying out certification is analyzed as regards competence and performance of all required certification activities. If such process is taken up, records are prepared justifying decision on taking certification. The Applicant is informed thereon.

5.2.6 If the product certification/ conformity assessment process is based on the certifications granted previously to the Applicant, the certifying body shall, in its records, refer to existing certification(s). In such case, some parts of certification process may be omitted. At Client's request, the Client shall be advised of the reasons of the omissions.

5.2.7 Where carrying out certification/ conformity assessment process is not possible for any reasons (such as lack of competences), the CW Manager upon DC Director acceptance notifies the Applicant on the refusal giving reasons thereof.

5.3 Preparation of the offer and contract

5.3.1 Where the certification/conformity assessment is possible, designated expert, after analysis of the *Application* and agreement with the Client, prepares the *Offer* and *Contract for Product Certification*.

Where product testing is required by external subcontractors (laboratories), parties to respective agreements on cooperation, the designated expert preparing the offer checks each time subcontractor's readiness for correct performance of the order (checks if the order scope is in line with the range of executed services, or if the subcontractor is granted accreditation). The *Offer* and the *Contract for Product Certification* are transferred to CW Manager. The CW Manager reviews the *Offer*, *Contract* and, after their approval by DC Director, sends them to the Applicant.

5.3.2 If an external expert has been designated for the request execution, then after analysis of the *Application* sent by the Client and after appropriate agreements with him, he/she prepares the *Offer* and *Contract for Product Certification* and sends them to CW Manager. The CW Manager reviews and accepts the *Offer* and the *Contract* and sends them, after their approval by DC Director, to the Applicant.

Prices for certification are based on current Fee Tariff and estimation of testing costs by the subcontractor.

5.3.3 After the *Offer* has been accepted by the Applicant and PRS received signed *Contract for Product Certification*, it is registered by the CW Manager. Subsequently, the CW Manager carries out the request review and issues *Form 5/PCW-01 – Review and execution of product certification request* and designates the experts/auditors according to principles defined in appropriate certification scheme, see 5.4.2.

During the request review, CW Manager determines if:

- the Client has been properly identified and if signed contract has been received,
- the request subject has been properly defined,



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

- reference standards have been identified and whether the standards are within the AC 114 accreditation scope,
- the Bureau has a competent expert at disposal,
- execution date has been determined,
- the Client has any payments 60 day past due.

The CW Manager makes appropriate entries on *Form 5/PCW-01 – Review and execution of product certification request*. When one of the above criteria is not complied with and the Product Certification Bureau is not able to execute the request, adequate information is sent to the Applicant and this is also noted down in the Form 5/PCW-01.

Employees who were previously liaised with, or employed by, the unit engaged with designing, delivering, installing or maintaining such products in such way and in such time that the liaisons could threaten their impartiality, may not be appointed an expert/auditor for certification of this unit.

In the certification/conformity assessment process, where product testing is performed by PRS, the principle of independence is adopted, i.e. the testing is carried out and/or supervised by an expert other than the one executing the certification process.

CW Manager may engage an external expert/auditor for certification process (in accordance with PCW-02).

If the Applicant makes a decision on requesting the product certification/conformity assessment service, he shall:

- make appropriate preparations for the performance of the assessment, including rendering possibility of checking documentation and ensuring access to all areas, records, claims and personnel,
- fulfil PRS requirements specified in the Contract for product certification.

5.4 Request execution

5.4.1 Certification/conformity assessment process is executed impartially, at dates agreed with the Client.

5.4.2 Proceedings at the product certification are defined in the below schemes:

- PCW-OCN;
- PCW-OCZ.

Proceedings at the product conformity assessment are defined in the below schemes:

- PCW-01/MED – Marine equipment conformity assessment scheme acc. to Directive 2014/90/EU,
- PCW-01/RCD – Recreational craft conformity assessment scheme acc. to Directive 2013/53/EU,
- PCW-01/PED – Pressure equipment conformity assessment scheme acc. to Directive 2014/68/EU;



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

- PCW-01/SPV – Simple pressure vessels conformity assessment scheme acc. to Directive 2014/29/EU;
- PCW-01/EMC/LVD – Electromagnetic compatibility conformity assessment scheme acc. to Directive 2014/40/EU.

Notes:

1. *In the case of product certification/conformity assessment including examination of quality management system, when the assessment is connected with quality management system audit performed by PRS Management Systems Certification Bureau or when the above mentioned scheme does not govern all activities in this scope, appropriate procedure of PRS Management Systems Certification Bureau may be applied.*
2. *Lists of reference documents are presented in annexes to the above schemes or are given on the webpage www.prs.pl.*

5.4.3 The Manager of the Product Certification Bureau designates employees having appropriate competences for the performance of individual assessment. They may not be persons who were previously liaised with the Applicant/Manufacturer or were employed by the unit engaged in designing, delivering, installing or maintaining products of such type in a way or time that could threaten impartiality of the assessment. Requests are executed by experts/auditors specified in the register of experts/auditors participating in product certification.

5.4.4 Before starting the process, the expert/auditor prepares the *Assessment Plan*. When planning the assessment, the results of the submitted documentation review shall be considered. The *Plan* includes information on the personnel designated to perform each individual assessment activity and on particular elements of the assessment, such as: project and documentation review, sample taking, testing, inspections and audit (Form.8/PCW-01).

5.4.5 Where it is required, product testing is performed by PRS own laboratory or subcontractors which are parties to cooperation agreements with PRS. Where applicable, the product shall be prepared for testing in accordance with Client's instructions and appropriate preparation of the product shall be confirmed by the Client in a written or electronic form. Product samples shall be supplied by the Applicant (Manufacturer or its representative) after taking from the current production in the number specified in the relevant standard or technical specification.

Identification of samples is carried out based on Manufacturer's system. The product supplied for inspection is checked for conformity with supplied description and approved technical documentation. If the product does not conform with Manufacturer's documentation, the inspection may not be started without prior resolving the problem with the Client.

In the time when the Product Certification Bureau is responsible for the condition of tested product, appropriate technical means and actions are taken to prevent product damage or deterioration of its condition.

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES**

5.4.6 The request for carrying out external testing is prepared by the expert, accepted by CW Manager and approved by DC Director.

5.4.7 CW Manager or designated person supervise the subcontractors, aimed at confirmation of their accreditation and ability for correct performance of testing.

The subcontractors are assessed periodically, once a year, by CW Manager or designated persons, according to criteria given in *Form 3/PCW-01 – Sheet for assessment of subcontractor*. Register of subcontractors is maintained.

5.4.8 After completion of certification process or conformity assessment, CW Manager makes a decision on the issue or non-issue of certificate. The issued certificate is signed by DC Director.

In the case of lack of CW Manager competence for the given process or when CW Manager performed assessment in the given process, the decision on the issue or non-issue of certificate is made by an appointed expert having appropriate qualifications (see PCW-01, Annex 2).

5.4.9 Conformity documents signed by DC Director and the covering letter or a letter informing on non-issue of certificate is signed by CW Manager and sent do the Applicant. The copies of the documents together with copies of the covering letters are transferred to CW Manager.

5.4.10 Within 30 days from the certificate issue, a designated CW employee completes the list of certificates on PRS webpage.

The list includes at least:

- the identification of Manufacturer, certified product,
- the date of issue and validity of the certificate,
- the identification of applicable certification/conformity assessment scheme and standards or normative documents.

5.5 Assessment

5.5.1 The product certification process is carried out according to standards and/or rules, covering the scope indicated in the *Application* and according to certification criteria for the given assessment scheme.

5.5.2 PRS declares carrying out certification/ conformity assessment process impartially, at dates agreed with supplier or its authorized representative. Nonconformities found during the assessment are documented and the Manufacturer's (supplier's) representative confirms with his/her signature understanding and acceptance of the nonconformities.

5.5.3 The corrective actions related to nonconformities in the product certification/ conformity assessment process shall be performed by the Manufacturer (supplier) and accepted by Product Certification Bureau, prior to certificate issue.

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES****5.6 Assessment report**

5.6.1 Personnel carrying out the assessment of the products transfer to the Manager of Product Certification Bureau a report including conclusions concerning the products conformity with all certification/ conformity assessment requirements. Any assessment related activities carried out prior to review are considered and documented in the report.

5.6.2 Full report includes results of assessment, identifies any nonconformity to be removed in order to comply with all certification requirements and defines the required scope of additional assessment or testing if the Applicant is interested in continuing certification process. If the Applicant decides to carry out additional activities related to assessment and he may prove that preventive actions have been taken for compliance all the requirements in defined time, only necessary parts of the original assessment procedure are repeated. In order to execute additional activities, the planning process defined in 5.4.4 shall be repeated.

5.7 Certification/ conformity assessment decision

5.7.1 The assessment report, together with enclosed documentation, is transferred by the expert/auditor carrying out the assessment to an expert/auditor which is not engaged in the assessment process and designated for review and/or making decision on certification by CW Manager. The product certification process is graphically presented in the Annex No.1. Persons making decisions in certification process must be PRS employees.

5.7.2 The expert/auditor prepares the certificate or informs the Applicant on refusal to issue the certificate. Decision on issue, refusal to issue, invalidation, suspension, restriction, extension, transfer of rights, renewal, reinstatement of validity is made by CW Manager.

Each issued certificate shall contain at least:

- the name and address of certification body,
- the date of issue and validity term of certificate,
- identification of Manufacturer and certified product,
- identification of applicable certification/ conformity assessment scheme and of standards or normative documents.

If the CW Manager has no competences for the given process or in the case the CW Manager performed assessment in the given process, the decision on the issue or non-issue of certificate is made by the designated expert having appropriate qualifications (see PCW-01, Annex 2).

5.7.3 The Applicant receives the decision in writing. The decision on refusal to issue the certificate shall be appropriately justified.

5.7.4 The certificate is signed by DC Director and is transferred to CW Manager. The certificate issued within the scheme, confirming product conformity with relevant reference documents, is issued for a period of 5 years.

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES**

5.7.5 CW Manager has the right to appoint a person authorized to make a decision in the certification process during his/her absence.

5.7.6 DC Director has the right to appoint a person authorized to sign certificates.

5.7.7 If an error has been found in the certificate, the certificate is annulled and a new certificate is issued with new number referring to the replaced one.

5.8 Appeals, complaints and disputes

5.8.1 The Applicant has the right to submit an appeal to the decision on certificate issue.

The appeal may concern formulation of the certificate scope or decision on non-issue or withdrawal of certificate.

Appeals and complaints shall include:

- the name and address of the Applicant or certificate owner,
- the description of the appeal or complaint subject,
- the reason of the appeal, complaint.

Any appeals to the decision, as well as complaints of Applicants or issued certificate owners concerning provided services are considered impartially by PRS by persons which have not participated in certification/ conformity assessment process, maintaining the principles of protection of contractors' interests.

5.8.2 Appeal/complaint submitted by the Manufacturer/Applicant is registered by CW Manager, who keeps the register of complaints and appeals. The CW Manager formally informs the person submitting the appeal or complaint on receipt thereof within 10 days.

5.8.3 DC Director is responsible for making decision and transferring written feedback (on the result and completion of proceeding with appeal/complaint) to the Manufacturer/Applicant, within 30 days from the date of appeal/complaint submission.

5.8.4 External letters containing reservations of an external party as regards results or method of service execution by PRS are transferred to CW Manager, who notes them down in the register of complaints and appeals. The CW Manager is responsible for the collection and verification of all the necessary information (to possible degree).

5.8.5 Subsequently, the CW Manager analyzes the matter and takes necessary actions to resolve it. After the analysis, he/she prepares the draft of a written response to the Client. The letter draft is submitted to DC Director who within 30 days of the external letter receipt in Product Certification Bureau makes a decision on the matter and notifies in writing the Client of the way of the matter treatment. The response copy is kept by DC Director.

Personnel (including the managerial staff) which provided consultation to the Applicant or was employed by him may not be engaged in the review or approval of the resolution of



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

complaint/appeal submitted by this Applicant for a period of two years from the completion of consultation or employment.

- 5.8.6** The Client submitting an appeal/complaint may question the result of its consideration by the Product Certification Bureau. In such case, the Client's letter is transferred to PRS Board for consideration.

Notes:

- 1. When dealing with an appeal/complaint exceeds the period of 30 days, CW Manager informs in writing the Client on expected date of sending the response, prior to expiry of the 30 days period.*
- 2. DC Director may authorize the CW Manager for sending written notification to the Client on the method of resolving its complaint or appeal.*

5.9 Surveillance

- 5.9.1** Surveillance activities are documented in accordance with adopted principles, similar to certification process. For the products certified acc. to scheme 1b, acc to PN-EN ISO/IEC 17067:2014-01, surveillance is not applied. For the products certified in accordance with scheme of type 3, acc. to PN-EN ISO/IEC 17067:2014-01, the surveillance is executed by testing or inspection of factory samples and assessment of manufacturing process. Testing samples are taken from the uniform batch of products submitted for verification at random by an expert. The sample amount is determined in accordance with relevant standard (ISO 2859).

Where applicable, products shall be prepared for testing to Client's instructions. Appropriate preparation of product for testing shall be confirmed by the Client in a written or electronic form. Product samples shall be supplied by the Applicant (the Manufacturer or its representative) from the current production in the amount chosen in accordance with applicable standard or technical specification.

PRS requires from the supplier that he should inform on any changes, including planned change of the product structure or technology, manufacturing process or, where applicable, on the change to the quality system having effect on product conformity. PRS determines if planned changes require further analysis. If so, the supplier is not allowed to release the certified product subject to changes into market until he is granted appropriate notification from the Product Certification Bureau.

- 5.9.2** In the case of product certification/ conformity assessment involving the assessment of production process, the expert/auditor designated by CW Manager in agreement with DC Director makes periodical assessment, to ensure that the manufacturer continues to fulfill the requirements.
- 5.9.3** The surveillance audits of certified products are performed to principles defined in appropriate certification/ conformity assessment scheme.



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

5.9.4 The scope of surveillance audits is set by CW Manager based on results of previous audits. Surveillance audits are carried out to principles defined in certification/ conformity assessment schemes.

Irrespective of periodical audits, non-announced inspections may be performed, where necessary.

5.9.5 PRS requires from the Manufacturer that he should inform the certification body on any changes, such as planned change of product, change of production process or if applicable change in quality system affecting the product conformity.

5.9.6 PRS determines if the announced changes require further analysis. If so, the Manufacturer is not allowed to release the certified product subject to changes into market until he gains appropriate notification from PRS.

5.9.7 Knowledge of work safety regulations valid during inspection is an indispensable element of safe work. Awareness of existing hazards and observance of work safety instructions for the given work post has essential effect on safety work conditions of surveyor/auditor. PRS surveyor/auditor is obliged to know fully work safety rules in scope of performed activities, obligatory at the surveyed site. The surveyor/auditor shall familiarize with Chapter 3 „Work safety in Surveyor’s activity” of Part I-1 of PRS Instructions to Surveyors and confirm it with own signature.

5.10 Certification/ conformity assessment renewal

If prior to the date of certificate validity expiry the supplier reports readiness for certificate renewal, the Product Certification Bureau repeats the product certification/ conformity assessment process. The assessment is carried out so that to ensure maintaining continuity of certificate validity.

If the contract was not signed for indefinite time, a new contract is signed for further period of certificate validity.

The re-certification audit shall consider results of functioning management system within the period covered with certification and shall include review of reports from previous surveillance audits and complaints received from interested parties.

The re-certification audit shall include audit at the site to:

- verify efficiency of the management system as a whole in terms of internal and external changes and its continuing relevance and suitability for the certification scope;
- verify proved commitment in maintaining efficiency and improving management system for improvement of general method of activity;
- determine if the operation of certified management system contributes to realization of policy and achievement of goals of the organization.



PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME – GENERAL PRINCIPLES

If during re-certification audit any nonconformity or lack of conformity evidence is identified, the certification body shall define time limits for implementation of corrections and corrective actions before certification expiry.

5.11 Principles of certificates invalidation (withdrawal)

5.11.1 Certificate invalidation may take place in the case the supplier's conduct was found nonconforming with concluded certification contract, and in particular when the certified supplier:

- ceased to manufacture products covered with certificate;
- does not permit carrying out audits with required frequency;
- does not fulfil the financial obligations to PRS;
- have not taken at agreed date activities consequent upon the change of requirements contained in certification reference documents;
- have not performed at agreed date activities concerning the complaint on the certified product, which was received in PRS,
- manufactured nonconforming product, what has been confirmed during survey or by other means.

5.11.2 Certificate invalidation is preceded by a written notification to the supplier on the grounds of the invalidation. Decision on certificate invalidation is made by DC Director.

Certificate invalidation may be preceded with its validation suspension (see p. 5.13.3).

5.11.3 PRS dissolves the certification contract. The contractor is informed thereon by a letter containing the certificate invalidation date.

The contractor may appeal against the decision on certificate withdrawal, in accordance with p.5.8.

5.11.4 Using official webpage, PRS makes public information on invalidated certificate. In addition, the above information, together with a written justification, is transferred to appropriate surveillance bodies.

5.12 Use of certificate

PRS monitors the use of certificates during surveillance assessment, by monitoring of information made public by market surveillance bodies and other information received in Product Certification Bureau, random control of advertising materials or Internet information. If the case of improper reference to certification scheme or misleading use of certificates is found, PRS takes appropriate actions, e.g. corrective actions, certificate withdrawal, making public information on the breach and if necessary taking legal action.

5.13 Extending, restricting and suspending certification

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES**

5.13.1 Certification/ conformity assessment scope is extended on the basis of additional Application Form 1/PCWOCN- OCZ – *Application for Product Certification*, in accordance with the provisions of paragraphs 5.1 to 5.5 (being attachments to particular schemes).

Changes made to normative documents or certification schemes are communicated to the Clients of Product Certification Bureau. A letter sent in this matter includes information on the changes required to be implemented by the Client and on the verification methods.

When the scope of certification/ conformity assessment is extended and changes in the products are made that affect certification/ conformity assessment, performance of the processes defined in paragraphs 5.1 to 5.8 is required. Where required, the processes include:

- the assessment,
- the review,
- the decision,
- the issue of amended, formal certification documents,
- the issue of certification documents after carrying out changed surveillance activities.

5.13.2 The certification/ conformity assessment scope is not restricted.

5.13.3 Certificate validity may be suspended in connection with received in PRS complaint against the certified product. Suspension covers a definite time until explanation of the complaint reason and performance of corrective actions.

Information on suspended certificate is made public on PRS webpage. In addition, the above information is communicated, together with a written justification, to appropriate surveillance bodies.

CW Manager is the person responsible for the formulation and communication to the Client of information on:

- activities needed for completion of product(s) certification suspension and reinstatement, in accordance with certification scheme;
- any other activities required by the certification scheme.

If the result of corrective actions concerning the complaint is positive, certificate validity is reinstated. The assessment, review and/or decision needed for suspension revoking shall be performed in accordance with applicable paragraphs 5.5-5.8.

If the corrective actions are not taken at agreed date, the certificate is invalidated.

5.14 Claims submitted to Manufacturers

PRS requires that the Manufacturer of certified products should:

- keep the records related to any known claims concerning product conformity with the requirements of relevant standard and make available the records at PRS request,
- take appropriate actions in relation to the claims and any defects revealed in the products, which affect their conformity with certification requirements.

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES****5.15 Complaints on certified product received in PRS**

If a complaint concerning certified product has been received in PRS, PRS demands explanations and proposals of corrective actions from the Manufacturer. After PRS acceptance for the corrective actions, their completion date is set.

For the time of corrective actions execution, the certificate may be suspended (see 5.13.3). Where the effective corrective actions have not been performed until the due date, the certificate is invalidated.

5.16 Impartiality

Polish Register of Shipping is a body performing certification/ conformity assessment acting as a third party (unit of type A). The impartiality and correctness of the certification / conformity assessment process is monitored by the Impartiality Preservation Committee, which acts on the basis of own regulations.

The Product Certification Bureau is a fully independent unit ensuring full impartiality and credibility. It does not conduct design or manufacturing activity and does not sale products being subject of certification/ conformity assessment.

In accordance with Annex No. 1, Article R17, item 10 of Decision No. 768/2008/EC of the European Parliament and of the Council of 9 July 2008 on a common framework for the marketing of products, and repealing Council Decision 93/465/EEC:

- the personnel of a conformity assessment body shall observe professional secrecy with regard to all information obtained in carrying out their tasks under the provisions of national law, except in relation to the competent authorities of the Member State in which its activities are carried out. Proprietary rights shall be protected.

Threats to impartiality are defined within the Instructions for Risk Assessment IC-01, together with specified restricting means.

5.17 Confidentiality

Persons engaged in certification/ conformity assessment process shall ensure confidentiality of all information related to certification. Any information submitted by our Clients during certification process are treated confidential and are not disclosed to third party without written consent of the Client. If any information is by law required to be disclosed to a third party, the Applicant is notified of the contents of the disclosed information within the scope permitted by appropriate normative documents or legal regulations.

Confidentiality is also ensured by:

- restricted access to the Applicant's documentation from the time of product submission to certification until archiving of the documentation,
- registering the documentation created within certification/ conformity assessment and surveillance process (contracts, inspection reports, testing reports),

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES**

- archiving the certification evidences and any Applicant's documentation submitted within certification process.

5.18 The obligation for observing the principles of competition and confidentiality is subject of personnel declaration to:

- observe established principles, including principles of confidentiality and independence of trade and other interest,
- maintain secret any circumstances and information submitted to the personnel in connection with performing entrusted duties, in relation to which they took necessary actions to maintain their confidentiality and disclosure of which could compromise PRS interest.

5.19 Legal responsibility

Gained certificate does not absolve the certificate holder from the responsibility for the product and consequences of use of product of inappropriate quality.

The certification/ conformity assessment process does not include the documentation analysis of the assessment subject as regards act on author's law and related laws and on the industrial property law.

5.20 Additional information

Additional information is available at the Secretariat of the Polish Register of Shipping Certification Division, phone +48 (58) 75 11 273, fax.: +48 (58) 341 77 69, e-mail: dc@prs.pl.

6. ASSOCIATED DOCUMENTS

Standard PN-EN ISO/IEC 17065:2013-03 - Conformity assessment – Requirements for bodies certifying products, processes and services.

Relationship between certification/ conformity assessment schemes and product and standard groups or criteria documents being the basis for testing and certification can be found on the webpage www.pca.gov.pl (accreditation scope of the product certification body No. AC114).

7. FORMS

Forms referred to:

Form No.	Form name
Form 1/PCW-OCN-OCZ	Application form
Form 2/ PCW-OCN-OCZ	Contract for product certification
Form 3/ PCW-OCN-OCZ	Sheet for assessment of subcontractor

**PRODUCT CERTIFICATION AND CONFORMITY ASSESSMENT SCHEME –
GENERAL PRINCIPLES**

Form No.	Form name
Form 4/ PCW-OCN-OCZ	Assessment of product certification/ conformity assessment process
Form 5/ PCW-OCN-OCZ	Review and execution of product certification request
Form 6/ PCW-OCN-OCZ	Certificate of compliance with PCA logo
Form 7/ PCW-OCN-OCZ	Contract for product certification (standards)
Form8/ PCW-OCN-OCZ	Plan of product certification/ conformity assessment process

Any records and documents related to certified product are kept for a period of 10 years after manufacturing of the last product.

8. ANNEXES

Introduced annexes:

Annex 1 – Scheme of product certification/ conformity assessment process.