



# Procedures for External Supervision and Certification of Regulated and Non-Regulated Construction Products (Attestation of Conformity)





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This document is binding only if its application has been agreed on a case-by-case basis. Otherwise, any consideration of this document is non-binding. An agreement for application of this document is entirely optional. On a case-by-case basis, third parties may also accept, at their discretion, other requirements that do not comply with this document.

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# 1 Scope

## 1.1 General

These procedure guidelines apply for the following services provided by VdS Schadenverhütung (hereafter referred to as VdS).

*Note: VdS Schadenverhütung is a company belonging to Gesamtverband der Deutschen Versicherungswirtschaft e. V. (GDV).*

The services are offered and provided in the framework of the general approval of VdS as testing, inspection and certification body according to the State Building Code, index no. NRW 21.

For the client, the procedure is based on the respective State Building Code of where the manufacturing site is located. If the manufacturing site is located abroad, the State Building Code of North Rhine-Westphalia will apply.

Responsibilities for the services are defined at VdS according to the accreditations and general approvals of VdS.

For more information about responsibilities and contacts for certain services or products please get in touch with our head office (phone +49 221 7766-0, fax +49 221 7766-341, e-mail: [info@vds.de](mailto:info@vds.de), [www.vds.de](http://www.vds.de)).

## 1.2 Procedures for external supervision and certification for regulated and non-regulated construction products (Attestation of conformity)

VdS offers procedures for the external supervision and certification of the following construction products:

- Regulated construction products according to Building Regulation List A Part 1:
  - door closer with automatic opening function (swing door drive) and hydraulic damping (serial number 6.14)
- Non-regulated construction products for which an attestation of conformity is required according to a (or several) general approval(s):
  - construction products for hold-open systems (approval nos. Z-6.5-xxxx, Z-6.510-xxxx and Z-19.14-xxxx)
  - smoke release mechanisms in ventilation ducts (approval nos. Z-78.6-xxxx)
  - control devices/manual triggering devices for smoke exhaust from lift shafts (approval nos. Z-78.12-xxxx)

The procedure is carried out in accordance with DIN 18200 : 2000-05 and generally comprises the following steps:

- placing of order
- order verification and confirmation
- initial inspection
  - initial inspection of premises and factory production control (FPC)
  - sampling for initial testing
- initial testing

- certification (issuing of certificate of conformity)
- regular inspections (as specified in the technical specification)
  - inspection of premises and FPC
  - sampling
  - product testing

External supervision and certification (issuing of certificate of conformity) may be applied for in combination only.

## 2 Definitions/Abbreviations

### 2.1 Definitions in accordance with DIN 18200 : 2000-05

**Technical specifications:** document specifying which technical requirements the construction product shall meet. According to these procedure guidelines, technical specifications are technical regulations and general approvals published in the Building Regulation List A Part 1.

**Factory Production Control:** continuous monitoring and control of the production process to be carried out by the manufacturer for each production plant, in order to ensure that the construction products meet the requirements laid down in the applicable technical specifications.

*Note: Requirements as well as type, scope and frequency of the Factory Production Control are specified in the technical specifications.*

**External supervision:** includes regular supervision of the Factory Production Control and of the construction product by an impartial body (inspection body) in order to verify whether the construction product meets the applicable technical specifications.

*Note 1: Requirements as well as type, scope and frequency of the external supervision are specified in the technical specifications.*

*Note 2: The external supervision includes the “initial inspection”, “periodical inspection” and “special inspection”.*

*Note 3: According to the DIBt requirements for testing, inspection and certification bodies, periodical inspections shall be carried out twice a year, unless otherwise specified in the technical specifications.*

**Initial inspection;** comprises the following:

- a) initial inspection and evaluation of the production plant and the Factory Production Control, at least in the same scope as in periodical inspections.
- b) initial inspection of the construction product in accordance with the applicable technical specifications.

**Periodical inspection;** comprises the following:

- a) periodical inspection and evaluation of the production plant and the Factory Production Control.
- b) inspection of samples taken in the production plant, on the market or in special cases on the construction site.

**Special inspection:** inspection for a special reason.

## 2.2 Definitions from the European legal framework (Construction Products Regulation)

**Manufacturer:** natural or legal person manufacturing or developing a construction product and marketing this product under its own name or brand.

*Note: The manufacturer usually also is the distributor.*

**Plant/Production plant:** company (headquarters) at which the FPC is carried out for the product in question.

*Note: May be identical with the manufacturer, but may also be a different company.*

**Distribution on the market:** any paid or unpaid handover of a construction product for distribution purposes or use on the market of the European Union in a business framework.

**Distribution:** first placing of the construction product on the market of the European Union.

**Construction product:** any product or construction set manufactured and distributed in order to be permanently installed in constructions or parts thereof and whose performance has an effect on the performance of the construction as regards basic requirements for constructions.

**Construction set:** a construction product distributed by one manufacturer as a set of at least two separate components which have to be assembled before their installation into the construction.

## 2.3 Further definitions and abbreviations

**Client:** company applying for external supervision and certification of a product by VdS.

**DIBt:** German Institute for Construction Technology (Deutsches Institut für Bautechnik)

**LBO:** State Building Code

**NRW21:** index no. of VdS as approved testing, inspection and certification body

**FPC:** Factory Production Control

## 3 Normative references

These Guidelines incorporate by dated or undated references, provisions from other publications. These references are cited at the appropriate places in the text, and the publications are listed hereafter. For dated references, subsequent amendments to or revisions of any of these publications apply to these guideline only when incorporated in it by amendment or revision. For undated references the latest edition of the publication referred to applies.

**DIN 18200:2000-05** Assessment of conformity for construction products – Factory production control, external supervision and certification of products

**VdS 2344** Procedure guidelines for the testing, approval and certification of products and systems of fire protection and security technology

**VdS 2841** Performance of product surveillances

**VdS 3177** General Terms and Conditions of Business of VdS Schadenverhütung GmbH for the provision of testing and certification services

## **4 External supervision and certification of regulated and non-regulated construction products (Attestation of conformity)**

### **4.1 Potential clients**

External supervision and certification may be applied for only by the manufacturer (distributor) of the product.

*Note: Manufacturer/client and production plant need not be identical.*

If client and production plant are not identical, the application (Annex C) shall also include a declaration by the production plant (Annex D).

### **4.2 Procedure**

#### **4.2.1 Placing of order**

The external supervision and certification shall be applied for using Annex C (including Annex D, if client and production plant are not identical).

In case of non-regulated construction products for which the attestation of conformity is specified in one (or several) general approval(s), the following information and documents are also required:

- copies of the test reports on all system tests and component tests of the component for which external supervision is applied for, as have been carried out prior to the approval.

*Note 1: In case of tests carried out by VdS, it is sufficient to indicate the test report.*

*Note 2: VdS reserves the right to decline applications if the product and system tests prior to the approval have been carried out by other bodies than VdS. Only in exceptional cases will VdS accept applications for which the tests (system tests and component tests of the component for which external supervision is applied for) have not been carried out by VdS. The conditions require that all information on the requirements and tests carried out for the approval (system tests and component tests of the component for which external supervision is applied for) are made available to VdS.*

- Any attestations of conformity by other testing, inspection and certification bodies for supplier components.

*Note: For external supervision, attestations of conformity by other testing, inspection and certification bodies may be accepted for supplier components. In this case, VdS will only verify whether up-to-date attestations of conformity are available for the respective supplier components.*

- Indication of general approval(s) in which the construction product has been specified.
- Where required, certificates of constancy of performance by other notified bodies.
- Copies of general approval(s) in which the construction product has been specified.
- If applicable, declarations of conformity relating to Directives 2006/95/EC and 2004/108/EC.



## **4.2.2 Order verification and confirmation**

Orders are processed in the order in which they are received, as far as this is possible for organisational and technical reasons.

In a preliminary test VdS verifies whether all information and documents have been submitted (see 4.2.1).

In case of a positive result, the order is accepted and the client receives a written order confirmation.

## **4.2.3 Initial inspection and sampling**

The initial inspection is carried out in the production plant and comprises the following:

- initial inspection of the plant;
- initial inspection of the FPC;
- sampling for the initial test.

Two samples will be taken unless more samples are required for the initial test or something else has been agreed for the respective product.

## **4.2.4 Initial test**

**4.2.4.1** The initial test is carried out in the VdS Laboratories.

**4.2.4.2** In case of regulated construction products according to Building Regulation List A Part 1, a full initial test according to the technical regulation published in Building Regulation List A Part 1 is carried out.

**4.2.4.3** In case of non-regulated construction products for which the attestation of conformity is specified in one (or several) general approval(s), the initial test is carried out to verify whether the samples meet the requirements of the approval. Two cases may occur:

- Case 1: Even before the initial test is carried out, it is obvious that the samples conform with the components (manufacturer, type, design) subjected to the tests (system and component tests) required for the approval.
- Case 2: The components are different to those of Case 1.

In Case 1 only the functions required for the use after an approval are tested.

In Case 2 a full initial test is carried out.

**4.2.4.4** In case of a positive result of the initial supervision (initial inspection and initial test) the client receives

- a report on the external supervision (copy for client)
- a contract on the external supervision (in duplicate to be signed), and
- a certification contract (in duplicate to be signed).

If client and production plant are not identical, the contracts will be signed by both the client and the production plant.



#### **4.2.5 Certification**

After the client and, if so, the production plant have signed the contracts, they will be signed by VdS and the attestation of conformity will be issued.

The client will receive:

- a copy of the supervision contract,
- a copy of the certification contract,
- the attestation of conformity (original).

A copy of the attestation of conformity will be sent to DIBt.

#### **4.2.6 Periodical inspections**

**4.2.6.1** Periodical inspections will be carried out twice a year – as long as the certificate is valid –, unless the applicable technical specification stipulates otherwise.

**4.2.6.2** Periodical inspections include the inspection itself and a product test.

The periodical inspection is carried out in the production plant and includes

- the inspection of the plant
- the inspection of the FPC
- a check of the correct marking of components with the conformity mark
- sampling for the product test

*Note: Unless agreed otherwise for the specific product, two samples will be taken.*

The product test is carried out in the VdS Laboratories. The product test is carried out to verify whether the samples still meet the requirements of the approval. Usually, the test only covers the functions required for the use after the approval.

**4.2.6.3** After the periodical inspection (inspection and product test) the client will receive a report on the external supervision.

### **4.3 Obligations of the certificate holder**

#### **4.3.1 General**

External supervision and certification are subject to fees and unsubsidised. The client undertakes to pay the fees in accordance with the applicable table of fees.

Further obligations for the external supervision result from Annex A and for the certification from Annex B of these Guidelines.

#### **4.3.2 Marking of the construction product**

After the attestation of conformity has been issued, the construction product may be marked with the conformity mark.

Example:



The requirements on the use of the conformity mark shall be met, as specified in the regulations of the State in which the production plant is located.

#### **4.4 Measures taken in case of non-compliance**

##### **4.4.1 Measures taken by the inspection body, special inspections**

If periodical inspections reveal that the construction product has been modified or does no longer meet the requirements, the head of the inspection body decides which measures will be taken.

These may be:

- a written request to the manufacturer to remedy the deficiencies within a specified period of time
- a special inspection including sampling and product test after the deadline has expired
- a notification to the certification body
- a notification to the highest construction supervision authorities and to DIBt (in extremely serious cases)

##### **4.4.2 Measures taken by the certification body in case of non-compliances**

If the inspection body notifies the certification body of repeated or serious deficiencies, the head of the certification body will decide which measures are to be taken.

These may be:

- a special inspection carried out by the inspection body
- a written notice to the manufacturer as to the fact that the attestation of conformity is invalid and shall be returned
- a notification to the highest construction supervision authorities and to DIBt (in extremely serious cases)

## **5 General Terms and Conditions**

The Guidelines apply in connection with the “General Terms and Conditions of Business of VdS Schadenverhütung GmbH for the provision of testing and certification services”, VdS 3177en, in the version applicable at the time the contract was concluded.

The General Terms and Conditions may be downloaded free of charge on [www.vds.de](http://www.vds.de) or obtained by post on request.

## **Annex A            Extract from the supervision contract**

### **Manufacturer's obligations**

1. In order to ensure an adequate external supervision, the manufacturer is bound to submit the following documents to the supervision body:
  - a) specifications on the construction product (construction plans, information on physical, chemical and technological product characteristics and compositions) and on the production process (manufacturing process, important parts of the manufacturing-related factory equipment and the main expert staff), where these are relevant for the external supervision
  - b) evidence of the Factory Production Control (based on the technical specifications according to Annex A of the supervision contract and on the definition of the FPC)
  - c) records on the Factory Production Control including product test
  - d) results of prior external supervisions including product test if the supervision body has changed. These results may be taken into account.
2. The manufacturer is also bound to:
  - a) inform the supervision body of any changes relating to the technical specifications given in Annex A of the supervision contract (renewals, amendments, deletion or addition of new approvals) without delay by submitting a copy of the respective change; these changes shall be included in the contract by submitting an informal application for changing Annex A in order to ensure that the contract remains valid; the approval body decides whether a repeat test of the construction product because of the change is necessary;
  - b) indicate any changes of the contents of documents specified under §3 1 a. The approval body decides whether a repeat test is necessary;
  - c) immediately inform the supervision body of any interruption (including anticipated duration) of the production of the construction product which would make it impossible to carry out the external supervision including product test as specified in the contract. The same applies to the resumption of production;
  - d) ensure (e.g. by appropriate specifications in the delivery terms) that the representatives of the supervision body, the competent building control authority or DIBt, where justified, have access to distributors' stocks or construction sites and may take samples from a delivery coming from the supervised production plant, in the presence of the distributor or site manager or their deputies;
  - e) refrain from calling in another body for external supervision of the same construction product.

*Annex A\*: This specification refers to Annex A of the attestation of conformity of the supervision and certification contract.*

## **Annex B            Extract from the certification contract**

### **Manufacturer's obligations**

1. In order to ensure an adequate certification, the manufacturer is bound to submit the following documents to the certification body regularly according to the specified frequency of supervisions:
  - a) on request: testing, supervision and construction plans or comparable documents and information on product characteristics and compositions, the manufacturing process, important parts of the manufacturing-related factory equipment and the main expert staff as well as changes concerning any of these. Any changes shall be indicated without delay; the approval body will decide whether a repeat test is required.
  - b) evidence of the Factory Production Control (based on the technical specifications according to Annex A of the supervision contract and on the definition of the FPC)
  - c) evidence and results of the external supervision including product test
2. The manufacturer is also bound to:
  - a) agree with the supervision body they have engaged for the external supervision of the construction product that, if the certification body has already issued a certificate of conformity, the supervision body will submit to the certification body any supervision reports plus any information the certification body may require, information on a discontinuation of the external supervision or the announcement thereof, without delay.


This also refers to other information the certification body requires in the framework of this certification contract, even without being asked by the certification body, including the information that the external supervision is discontinued or that the supervision contract has been cancelled;
  - b) inform the certification body that they intend to mandate another supervision body and to ensure that the external supervision is continued seamlessly by another supervision body approved by the building control authorities;
  - c) immediately inform the certification body of any relevant modifications of the technical specifications specified in Annex A (renewals, amendments, deletion or addition of new approvals) by sending a copy of the modification; these shall be included in the contract by submitting an informal application for modifying Annex A of the supervision contract in order to keep the contract valid; the approval body decides whether a repeat test of the construction product is required.
  - d) immediately inform the certification body of any changes in the manufacturing process, important parts of the manufacturing-related factory equipment and the main expert staff; the approval body decides whether a repeat test is required;
  - e) inform the certification body, upon request, of any physical, chemical and technological characteristics of the construction product that may be relevant for certification, product testing and external supervision;
  - f) immediately inform the certification body of any interruption (including anticipated duration) of the production of the construction product which would make it impossible to carry out the certification as specified in the contract; the same applies to the resumption of production;
  - g) submit to the certification body the results of prior certification and external supervision by another certification and supervision body for the construction

product and manufacturing plant and to allow the certification body to obtain information from this body directly. It is not allowed to call in another certification body for the same construction product;

- h) in case of a change of certification body, immediately return the original certificate of conformity to the certification body if it is cancelled or if the certification contract has been terminated.

*Annex A\*: refers to Annex A of the certificate of conformity of the supervision and certification contract.*

## Annex C      Order for a procedure in accordance with VdS 3414, cl. 1.2

	<input type="checkbox"/> External supervision and certification		
<b>1</b>	<b>Client</b>		
1.1	Company name		
1.2	Street		
1.3	Country/PC/City		
1.4	Contact		
1.5	Phone/Fax		E-mail
1.6	VAT ID		
<b>2</b>	<b>Payer (if different from client)</b>		
2.1	Company name		
2.2	Street		
2.3	Country/PC/City		
2.4	Contact		
2.5	Phone/Fax		E-mail
2.6	VAT ID		
<b>3</b>	<b>Invoice address</b>		
3.1	Company name		
3.2	Street		
3.3	Country/PC/City		
3.4	Contact		
3.5	Phone/Fax		E-mail
<b>4</b>	<b>Product for which external supervision and certification is applied for</b>		
4.1	Product and type designation		
4.2	The product includes software-controlled components <input type="checkbox"/> yes <input type="checkbox"/> no		
4.3	General approval Basis of certification		
4.4	<input type="checkbox"/> Apart from German supervision reports, an English version is required		
4.5	<input type="checkbox"/> Apart from German documents such as certificate of conformity, supervision and certification contract, an English version is required		



<b>5</b>	<b>Manufacturing plant of product</b>			
5.1	Client and manufacturing plant are identical <input type="checkbox"/> yes (please fill in cl. 6, whereas 5.4 to 5.7 are not applicable) <input type="checkbox"/> no (please fill in cl. 5 and add <b>Annex D</b> , cl. 6 is not applicable)			
5.2	Indication of manufacturing plant on certificate: <input type="checkbox"/> Indications in 5.2 to 5.4 (no coding) <input type="checkbox"/> Coded, Code: _____			
5.3	Federal state of manufacturing plant (applies only to manufacturing plants in Germany) _____			
5.4	Company name	_____		
5.5	Street	_____		
5.6	Country/PC/City	_____		
5.7	Phone/Fax	_____	E-mail	_____
<b>6</b>	<b>Quality management system/System of Factory Production Control of manufacturing plant</b> (For VdS approvals and EN/ISO/IEC certifications see cl. 5.1 of VdS 2344 and cl. 2 of VdS 2841 "Performance of product surveillances")			
6.1	<input type="checkbox"/> certified acc. to DIN EN ISO 9001 by VdS Schaden- verhütung: Certificate no.: _____	<input type="checkbox"/> certified acc. to DIN EN ISO 9001 by _____ (Please enclose copy of certificate by QM certification body)		
	<input type="checkbox"/> not certified acc. to DIN EN ISO 9001	<input type="checkbox"/> Effective QM documentation (QM manual, QM procedures, etc.) are enclosed for pre-inspection  <input type="checkbox"/> Effective QM documentation (QM manual, QM procedures, etc.) have already been submitted to the VdS Certification body		
6.2	Name of QM representative/ E-mail		_____	
<b>7</b>	<b>Limitation of confidentiality obligation:</b> The client releases VdS from the obligation of secrecy and allows VdS to forward information to the following body(ies) if this is required for carrying out the order. The client agrees with this.			
<b>8</b>	<b>The client declares</b> to accept these Guidelines VdS 3414 „Procedures for External Supervision and Certification of Regulated and Non-Regulated Construction Products (Attestation of Conformity)”, the associated fee rates (on demand) and the General Terms and Conditions VdS 3177 as part of the contract. If the payer does not pay the costs incurred, the client will take on the obligation to pay.			
	Date	Stamp and signature of authorised person		

## Annex D Declaration by manufacturing plant

<b>Declaration by manufacturing plant</b>			
If the client who places an order for external supervision and certification of a device or component is not identical with the manufacturing plant, the manufacturing plant shall fill in this declaration.			
<b>1</b>	<b>Manufacturing plant</b>		
1.1	Company name		
1.2	Street		
1.3	Country/PC/City		
1.4	Contact		
1.5	Phone/Fax	E-mail	
1.6	VAT ID		
<b>2</b>	<b>Device/component for which external supervision and certification is applied for</b>		
2.1	Product and type designation		
<b>3</b>	<b>Client acc. to Annex C</b>		
3.1	Company name		
3.2	Street		
3.3	Country/PC/City		
3.4	Phone/Fax	E-mail	
<b>4</b>	<b>Quality management system/System of Factory Production Control of manufacturing plant</b>		
4.1	<input type="checkbox"/> certified acc. to DIN EN ISO 9001 by VdS Schadenverhütung: Certificate No.: _____	certified acc. to DIN EN ISO 9001 by _____ (Please enclose copy of certificate by QM certification body)	
4.1	<input type="checkbox"/> not certified acc. to DIN EN ISO 9001	Effective QM documentation (QM manual, QM procedures, etc.) are enclosed for pre-inspection Effective QM documentation (QM manual, QM procedures, etc.) have already been submitted to the VdS Certification body	
4.2	Name of QM representative/ E-mail		

<b>5</b>	<b>The manufacturing plant declares</b> <ul style="list-style-type: none"><li>– to consent to the order for a certification of the specified product by the specified client,</li><li>– to supply the specified product to the client,</li><li>– to manufacture the specified product in the certified design,</li><li>– to provide evidence that the products are manufactured in unvarying properties and design,</li><li>– to implement a quality management system (QM system) which fulfils the requirements for manufacturing plants in accordance with Guidelines VdS 2841,</li><li>– that all product-related activities are covered by the QM system,</li><li>– to consent to the external supervision in the manufacturing plant by VdS at regular intervals.</li><li>– For the purpose of order processing, data of the manufacturing plant will be collected, stored and, if required, passed on to third parties. They are passed on only where this is necessary for carrying out the order. The manufacturing plant agrees with this.</li></ul>
	Date                      Stamp and signature of authorised person of manufacturing plant



