**Product and System Certification Activities**

**1. Application for Certification**

1.1. The Application for Certification has been taken by relevant Application Form.

1.2. If the application is not in the scope of SZUTEST, the case shall be conveyed to the firm.

1.3. If the application is convenient for certification scope, in accordance with the classification conditions defined in the relevant directive or standard, the SZUTEST shall plan the certification or conformity assessment activities. It prepares the relevant proposal/contract in complying with the auditing process and pricing conditions for the defined activities.

**2. Certification Audits**

2.1. Based on the audit plan to be sent by SZUTEST to the firm for performing the auditing process; in order to confirm that the firm quality system could be accepted in accordance with the relevant standards, scope and documentation, reviewing the interviews, documents and records through the sampling method shall be made by observing the activities and conditions in the relevant departments. In the product compatibility auditing, it has been reviewed if the conditions about the product could be applied in complying with the relevant directives.

Audits done in two stage. Stage 1 can be done on site or not. Duration between stage 1 and two can be maximum 6 months. The non-conformities found during the stage 1 audit must be verified by audit team before stage 2 audit.

Nonconformity: Non-fulfilment of a requirement.

Major Nonconformity: These are nonconformities that affect the ability of the management system to achieve its intended outcomes. In general, any subset of standard items that adversely affect the running practice of the system and / or affect the satisfaction of the customer with the service or product offered are not adequately defined and / or systematically implemented.

Minor Nonconformity: These are nonconformities that do not affect the ability of the management system to achieve its intended results. The system does not contain systematic and systematic deviations from standard requirements and / or company documentation requirements.

2.2. During the audit, if the product technical file or product conditions have derived from the conditions of the regulations and documentation of the establishment based on the auditing scope, these deviations shall be classified and shall be notified to the firm through the nonconformity report.

2.3. The firm shall be obliged to inform the SZUTEST through the nonconformity report within 10 working days (for CPR it is 30 days) regarding the corrective actions to be performed by the firm towards the nonconformities to be determined in the audit to be investigated. In order to close the nonconformities in the certification audit, the required time could not be more than 90 days for major nonconformities. If the firm could not eliminate the nonconformities on time, a stage 2 audit is performed again.

2.4. The follow-up audit is required for major nonconformities. If the follow-up audit is not required for the minor nonconformities by the audit team, the evidences for corrective actions shall be sent to the lead auditor by the firm in time period which was defined in SZUTEST procedures.

2.4.1. Sending corrective action plan is sufficient for minor non-conformities. This rule can only be applied in surveillance audits of CPR, ISO 3834 ve EN 15085 standards.

2.5. After eliminating the nonconformities, the audit report that has been prepared by the audit team and recommendation shall not be the last decision for the certification and it is an opinion for the certification committee. The firm shall be notified if the certification decision is taken or not after the meeting organized by the certification committee.

**3. Follow-up Audits**

3.1. Step 2 shall be carried out to define if the major nonconformities occurred during the surveillance, renewal, transfer, amendment and extraordinary auditing and minor nonconformities that must be performed on place have been eliminated and the corrective activities have been implemented effectively and efficiently or not.

3.2. After performing the corrective activities defined in the nonconformity report, the surveillance audit activity shall be made on the date agreed together with the firm. Immediately after Step 2 surveillance, if the firm cannot complete the activities on time and/or if the firm cannot prove that it has removed the nonconformities during the auditing process, the application of the firm shall be cancelled.

**4. Surveillance Audits**

4.1. In order to verify the conformity of the firm to be certified together with the certification conditions, it is the periodic surveillance to be performed. The surveillance audit shall be performed maximum in 12 months periods by taking reference on the certification decision date.

If first surveillance audit cannot be done within 12 months, the certificate of the firm shall be suspended as of the time when 12 months are ended. For 2nd surveillance audit, if the reasons could be submitted, the suspension demand of the firm could be approved up to maximum three

months (for example; exhibition, conference, business trip, extra work load, temporarily health problems, temporarily production and service stop). The suspension demand shall be taken in written (e-mail or fax).

According to 305/2011/EC Construction Product Regulation, in the audits of factory production control system, the certificate is issued for 12 months period. When the validity period of certificate ends, validity of the certificate is terminated.

4.2. The surveillance audit is defined by the firm and the customer complaints that have been sent to the SZUTEST could be increased under the direction of the nonconformity levels and views of the certification team.

4.3. Performing the audit, realizing and reporting the auditing, closing the nonconformities and following the nonconformities could perform as is in the certification audit. After the surveillance audit of CPR, ISO 3834 and EN 15085 standards, the duration of removing non-conformitis is 60 days.

4.4. Verification of the nonconformities that have been previously determined and closed without verifying the nonconformities, checking the certificate and trademark using shall be performed during the surveillance audit. If any nonconformity is found as a result of the verification on place, it shall be considered as major nonconformity by the surveillance team.

4.5. If the nonconformities could not be closed on time, the certificate of the firm shall be suspended. If there is no other matters contrarian to certification, the certification committee shall decide on the continuation of the validity of the firms' certificates for the firms which close the nonconformities before the designated time

**5. Recertification Audit**

5.1. Recertification audit is performed for recertification of the firm's certificate before the validity of the certificate is over. At least 3 month before the validity of the certificate ends, the firms shall be notified in written by the SZUTEST and the written response shall be requested from the firm. If the firm does not give any answer or does not request for the continuity of the certificate, at the end of the validity period of the certificate, the certificate shall be invalid.

5.2. The renewal of the contract shall be made before the certification in accordance with the pricing instructions. Planning recertification audit, appointment of the auditors, performing the audit, reporting the audit, closing the nonconformities and deciding on the certification shall be similar to certification audit. After the end of the validity period of the certificate, if the firm wants to be certified once again, the application shall be considered as certification instead of recertification.

5.2.1. Following expiration of certification, the certification body can restore certification within 6
months provided that the outstanding recertification activities are completed, otherwise at least a stage
2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision
and the expiry date shall be based on prior certification cycle. This rule can't be applied in audits of CPR, ISO 3834 ve EN 15085 standards.

5.3. During the recertification, the nonconformities that have been previously determined and the corrective actions shall be reviewed. The scope of the audit, new documents, trademark and certificate utilization shall be checked and the same processes shall be applied as is in the surveillance audit. As a result of the auditing, the assessment shall be similar to the certification audit.

**6. Special Audits**

6.1. Audits for Changes

6.1.1 It is the auditing process to check the changes such as changing the Firm's title, changing the firm's scope of activity, firm address and branches.

If the official status of the firm has not been changed before auditing, service contract shall be renewed such as address and title.

6.1.2. The amendment requests shall be made from the firm by the amendment form in written and the decision shall be made if the document will be reviewed or the site control will be performed or not and shall be taken note in the form. Apart from the document review in the changes in the scope and address changes, based on the scope and production place, the field surveillance could be performed on time and the surveillance report shall be used for the registration process. If deems appropriate, the documents and surveillance report shall be revised in accordance with the requested changes by the certification committee. IF not, it shall be informed to the firm by a letter. In case of changing in the certificate, the validity period of the current certificate of the firm shall not be changed.

6.1.3. Short Notice Control

If any complaints toward the form are taken including the objective evident, the decision could be taken by contacting the firm to perform the extraordinary surveillance. In such surveillances, the firm shall be informed on due time (maximum 1 day ago) and the surveillance shall be performed.

If the firm has not approved the surveillance, its certificate shall be suspended and the case shall be notified to the firm by an official letter.

As a result of the surveillance, if the SZUTEST determines that the circumstances is not valid for the issued certificate,

in accordance with the qualifications of the conditions that have not been fulfilled, the certificate shall be suspended or withdrawn accordingly.

**7. Composing and Submission of the Certificate**

7.1. After confirming that applicant firm is convenient with the quality management system standards and conditions defined in the relevant directives as a result of the audit and when the Certification Committee decides on the certification, the firm shall be awarded by the product conformity certificate within the scope of the quality management system or relevant directives and the firm shall be recorded in the list of the certified firms.

7.2. The validity time of the certificates have been defined by the relevant standards or relevant legislations. As soon as the certificates have been approved so that the surveillance audit was performed the applications were approved, it shall be valid for the time foreseen by the standard and legislations.

Audits for certificate change shall not affect this time. The firm that was awarded by the certificate could only use this certificate for the production and service places defined. The certificate has been submitted only for the scope written on the certificate and shall not reflect any other activity fields and could not be used for this purpose. The certificate has provided only for the firm whose name is written on the certificate and could not be handed over to other institution and legal personality. SZUTEST trademark and certificate utilization shall be made in accordance with the certificate and trademark utilization procedure.

**8. Suspension of the Certificate and Scope Reduction:**

8.1. If the below-mentioned circumstances are occurred, the certificate could be partly or wholly suspended by the certification committee decision since the decision date not exceed six months.

- Finding out the nonconformities that have been determined during the controls and have not eliminated on due time,
- Determining that requirement or legal sanctions (such as; worker health and work safety legislation or special requests towards relevant product or service) have not been fulfilled within the scope of auditing,
- Put demands in writing about the suspension of the certificate by the firm voluntarily,
- Misuse of the certificate and trademark of the SZUTEST,
- Disagree with the certification rules,
- Neglect the financial obligations,
- Not to inform SZUTEST about the important changes that have been performed in the organization of the firm,
- Non execution of the management system where it is documented and audited,
- Determining the negative circumstances by the SZUTEST in the management system/ product or system/product,
- Not to allow the surveillance and recertification controls by the firm apart from the force majeure (fire, natural disasters, etc.).
- Fail to inform SZUTEST about important changes for the contractual products.
- In case the document is misused,
- Not to take required corrective actions related to complaints about operations or products certified by Szutest.
- Not to submit information to Szutest covered by Szutest's certification scope.

By considering the scope of the firm certification, fail to cover the certification conditions permanently, the SZUTEST shall limit the certification scope of the customer except the part that has not covered the conditions.

8.2. The suspension of the certificates shall be decided by the Certification Committee. In each circumstance such as refusal of the control and fail to accomplish the obligations, fail to removal of the nonconformities on time where the technical assessment is not required, the suspension decision shall be taken without convening the committee. The SZUTEST shall inform the firm about the suspension and re-instatement of the certificates in written.

If the firm to be certified could not solve the problems on time, the certificate of the firm shall be withdrawn by the certification committee or the scope of the certificate shall be limited. In case of suspension or withdrawal of the certificate, the name of the firm shall be transmitted to the firm lists whose certificates have been suspended or withdrawn. Since the suspension date, the firm shall not use the certificate, trademark and/or CE marking. The certificate of firm shall not be used by the firm in the suspension period of the certificate.

**9. Re-instatement of the Certificate:**

9.1 Firms whose certificates have been suspended shall inform the SZUTEST in written about removing the reasons of the suspension. In order to confirm re-instatement of the certificate, SZUTEST could perform the audit if deems necessary. The type of the control, content and time of the control within confirm re-instatement of the certificate shall be defined. However, the duration of this audit is less than surveillance audit duration but shall not be more than recertification audit duration. After the audit, the certificate of the firm will be re-instated by the decision of the Certification Committee if the conformity of the firm is verified.

9.2 If the suspension reasons are not removed, the certificate will be withdrawn.

**10. Withdrawal of the Certificate and the Results of it:**

10.1. The certificate shall be withdrawn in case of below mentioned circumstances;

- If the firm refuses the reasons for suspension or if the firm remove the reasons for suspension on time,
- Bankruptcy of the firm, ending the activities or changing the legal personality,
- If the firm has not used the certificate for the scope and address that have been defined,
- If the firm gives false and deceptive information during the auditing,
- In the auditing process, to determine that the conformity of the firm management system has been completely ignored,
- Alteration in the certificates and attachments through the firm,
- If the firm wants to cancel the contract.

If the reasons for the suspension could not be removed in the defined time, in case of the situation where the system affectivity is not required for the assessment such as bankruptcy or cancelling the activities of the firm or cancellation of the contract, the certificate could be withdrawn without requiring the committee decision. For the circumstances beyond this, the certificate could be withdrawn by the decision of the certification committee.

10.2. If the certificate is withdrawn, the name of the firm shall be removed from the firm lists that have been certified and transmitted to the firm list whose certificates have been withdrawn. The firm shall be responsible for sending back the original certificate to the SZUTEST by stopping the use of each certificate and promotion materials and shall be obliged to carry out its financial obligations.

The application of the firms, whose contracts and certificates have withdrawn, could be entered into the process at least 30 days later. When re-applying, the documentation process in the first application shall be applied.

In case of the suspension, re-instatement or withdrawal of the certificate, SZUTEST shall publish the document position in the www.szutest.com.tr. It shall inform the relevant ministerial bodies, accreditation body and relevant EU commissions about the position of the certificate.

On the other hand, SZUTEST shall provide relevant information for marketing control and surveillance to the authorized bodies of the country belonged to the European Union Members if deems necessary in the relevant technical organizations.

**11. Roles and Responsibilities of SZUTEST:**

11.1 SZUTEST and its all employees shall not disclose each written and verbal information submitted by the relevant firms and relevant parties about the certification, examination and test activities and shall not share such information with third parties. However, if such information is requested by the institution that accredited the SZUTEST (TURKAK and IAS etc.) or authorized bodies of the relevant Ministries (Ministry of Science and Technology, Ministry of Health, Ministry of Environment and Urban Planning), these could be shared accordingly. Unless prohibited by the law, if SZUTEST is obliged to give information to the third parties in accordance with the legal reasons, it shall definitely inform the relevant firm.

11.2. According to the standards, neutrality and confidentiality rules, SZUTEST control its employees through the Neutrality and Confidentiality Contract;

11.3. Within the scope of examination and test activities, SZUTEST has Occupational Responsibility Insurance against the risks that could be resulted by the damages and the scope and limits under its responsibility has been defined in this insurance. If the organized documents have not been approved by the third parties, the SZUTEST shall not have any responsibility.

11.4. SZUTEST shall immediately inform the relevant firms to support them to make relevant organizations within the process period to be defined for the certified firms. For this purpose, web-page, e-mail etc. could be used.

11.5. SZUTEST shall have right to make any changes in the certification, examination as well as test procedures and pricing. However, the rights before the amendments shall be valid and the amendment in the relevant document shall be taken basis when implementing the changes. SZUTEST shall be obliged to announce the changes in the documents that have been taken reference for the certification, examination and test and shall inform all applicant firms through webpage, fax or e-mail. If the current changes are in the favour of the previous firms, the changes shall be applied that will include the previous firms.

11.6. SZUTEST shall make a list of the firms whose certificate is suspended or withdrawn and shall update this list and publish the list on the website.

11.7. If the SZUTEST decides to cancel the accreditation activities or if it is withdrawn by the relevant authorities, the firms that have been certified by SZUTEST shall be left for the supervision of a certification firm together with the accreditation firm. SZUTEST shall not charge a fee or payment for this process.

11.8. If the SZUTEST decides to cancel the notification activities or if these activities or one of these activities are

withdrawn by the relevant authorities, the firm files shall be transferred to the notified body body defined by the firm. In this stage, the conditions of the other notified body are valid and Szutest do not have the right of alienation on these conditions.

11.9. The SZUTEST is agree to act in accordance with the certification, test and standards regarding the test scope, regulations, TURKAK Guidelines Documents, IAF Guidelines and documents of European Union Commission.

11.10. Szutest reserves the right to change the terms and the validity period of the certificates in case of a revision of a regulation, directive, standard or a legislation.

**12. Roles and Responsibilities of Customer Firms:**

12.1. Within the framework of the relevant standards and regulations, the firm is obliged to act in accordance with any written-verbal information and instruction provided by the SZUTEST toward the processing the management system, product compatibility, assessment, test and examination services.

12.2. Based on the management system, in order to sustain the system that was established by the firm, a firm shall appoint a management representative and shall facilitate the access of the auditing team in each area of the firm during the work hours as well as it shall guarantee to perform the current legal requirements and special requests about the product/service within the scope of the certificate.

12.3. The observers and guides could accompany to the examinations, tests or unplanned visit to be performed in the field of the customer of SZUTEST. The observers could be a person who observes a member from the auditing/examination team and on the other hand, it could be a representative of the accreditation body or relevant ministries. By the way, the guide is the person who accompany to the auditing team for the purpose of help. A guide could be appointed for each member of the auditing team. The responsibilities of the guide is to provide communication, to organize the meetings, to organize the field trips, to act in accordance with the field security rules, to witness for the auditing on behalf of the customer or to provide information requested by the auditor.

First of all the customer and auditing team members shall be notified about the participation of the guide and observes in the auditing and the approval of the customer shall be taken. The guide and observers could not response to the auditing process.

12.4. Firm shall be responsible for providing any kind of written and verbal information related to the auditing activities, test, and examination process together with SZUTEST staff including the Turkish Accreditation Body representatives or ministerial executives.

12.5. The firm must inform the SZUTEST about any changes occurred in the certified products or in the management system of the firm or in products/product which is certified depending on the management system of the firm or in the organizational structure which will affect the system (change(s) of address(s), the scope, number of staff, number of branch/branches and the address(s) of the branch(s) of the firm) in 1 month.

12.6. The firm shall be responsible for keeping all records that have been kept by SZUTEST (contract report, DÖF records etc.) until the validity time of the certificate.

12.7. The firm shall be obliged to submit all documents and records that have been requested for the application to the SZUTEST before the examination, test and audit.

12.8. In order to evaluate the effect the changes on the system or product, if necessary, SZUTEST could perform additional examinations and auditing against payment. The firm must make changes in the certification and examination system as soon as possible.

12.9. The firm shall be responsible for recording the objections and complaints of the third parties and customers within the scope of the certificate and shall inform the SZUTEST during the audit. The company must take required actions related to these complaints.

12.10 The company is obliged to comply with and follow updated versions of SZUTEST's instructions and procedures such as the Procedure on Use of Certificates and Brands, Certification Procedure and this text (General Conditions Text) posted on www.szutest.com.tr, and all the related regulations, standards and all related legal documents.

12.11. The firm shall be obliged to pay the fee defined in the pricing instructions and service agreement as well as shall be responsible for payment of special or follow-up auditing anticipated by the relevant standards and regulations.

12.12. The firm shall be obliged to stop using each kind of document and promotion materials that refer to the certificate after suspension and withdrawal of the certificate and shall immediately send the certificate to the SZUTEST.

12.13. The firm shall be responsible to work in accordance with the local legal regulations, laws and legislations towards its activities.

The firms that want to have certificate in the scope of the product conformity shall be obliged to act with regard to the all rules including the CE marking about the products.

12.14. After the certification audit, if any changes occur in the external processes of the firm to be audited, the

certified firm must inform the SZUTEST about the changes.

12.15. The firm raises an objection according to PR.04 Evaluation of Complaints and Appeals Procedure and if the firm does not accept (not pleased) the decision of Appeal Committee, relevant competent authority (Turkish Accreditation Agency or Relevant Ministries) is consulted. When the period of appeal resolution for Szutest exceeds, the firm can apply to relevant competent authority (Turkish Accreditation Agency or Relevant Ministries) likewise. The company can object to any decision of Szutest about itself in a month.

12.16. The firm is any natural or legal person who manufactures a product or has a product designed or manufactured, and places it on the market under his/her own name or trademark.

12.17. The firm is responsible for the conformity assessment of the product(s).

12.18. The firm is responsible for designing and manufacturing the product(s) in accordance with essential or other legal requirements laid down by the relevant European Union harmonisation legislation and for carrying out conformity assessment in accordance with the procedure(s) laid down by the European Union harmonisation legislation.

12.19. The company can use the certificate only for the scope and address mentioned on the certificate; otherwise accepts all sanctions to be imposed.

12.20. The company is supposed to protect the integrity of certification documents (certificates, reports, etc.) in case of reproduction for other parties.

12.21. The company accepts that Szutest will never give consultancy to the company on conformity assessment or any related field; and the company will never demand this.

12.22. The Accreditation Authority TURKAK, when it's necessary and applicable, may visit SZUTEST's customer on site for the purpose of reviewing an accredited (accredited from TÜRKAK) service provided by SZUTEST and request information about the audit performed by SZUTEST.

This text is composed of six pages and it is the indispensable part of the SZUTEST Service Contract. When signing the SZUTEST Service Contract, it shall be considered that rules, rights and responsibilities in this text have approved by the relevant parties. The changes that could be occurred in the text shall be announced through the website of www.szutest.com.tr.

If any changes have been made in the published documents, this amendment shall be announced for 1 month in the website. The changes in the document could be monitored on our website.