

ADMINISTRATIVE PROVISIONS

FOR

THE CERTIFICATION ACTIVITIES

APRIL 2016

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1. Introduction

The following provisions form the basis for Kontrollrådet's different certification systems and describe the administrative conditions being basis for the systems. Appendix 1 states in which areas Kontrollrådet can offer certification.

The present administrative provisions supersede previous provisions, from October 2014.

2. Purpose

The Kontrollrådet's activities are regulated by and comply with the EN ISO / IEC 17021 and the ISO / IEC 17065.

As a notified body Kontrollrådet in addition complies with the requirements in the Regulation on notified bodies, the Law on Public Administration chapter II to VI as well as the requirements in the Construction Product Regulation and letter of notification from the Norwegian Building Authority (DiBK).

The purpose of the Kontrollrådet's certification systems is, to ensure that the companies certified satisfy the requirements in the technical specifications that are basis for the certification. By being affiliated with one of Kontrollrådet's systems, the company will at the same time satisfy the requirements for documentation according to the Norwegian Building Regulation 10 (chapter 3) for the product in question.

These administrative provisions will also regulate the relationship between Kontrollrådet and the company.

3. Status

The affiliation to the Kontrollrådet's different systems shall be done by a written application. The application will be signed by both parties and thus also serve as an agreement.

4. Companies eligible for affiliation

Kontrollrådet's different systems are open to all who wish to get affiliated, and who has an activity within the areas where Kontrollrådet has certification activities, see Appendix 1.

Necessary application documents and other information will be supplied by contacting Kontrollrådet or downloaded from Kontrollrådet's webpage (www.kontrollbetong.no).

5. Application

5.1 New Companies

An application for affiliation should be made by filling in a special application form, prepared for the various systems. By signing the application, the company will commit to follow these administrative provisions and other applicable provisions, standards and technical specifications. This signing also includes a commitment to maintaining the quality of the products as long as the company is certified.

The application shall be signed by a person who is authorized to represent the company towards Kontrollrådet.

In the application the company must also name a special contact person for Kontrollrådet. This person shall be given the necessary responsibility and authority to represent the company towards Kontrollrådet in all certification issues.

If the application relates to a mobile unit, please see also Appendix 2.

5.2 Changes of the scope of certification

In case a company wishes to expand or reduce the scope of its certification, this should be communicated to Kontrollrådet in writing. In connection with an expansion, the following information should normally be presented;

- type testing carried out for the products in question
- declared values for the product properties in question
- adapted control plan/Factory Production Control system (FPC-system)

Based on this information Kontrollrådet will decide on the need for special documentation, extra audit or other special follow-up. The company will be informed about Kontrollrådet's decision in writing, and may appeal against it, in accordance with clause 11.

Expansions within the system- and environmental certification will have to be made in a written application.

5.3 Certification process

The certification process and the further maintenance of the certificate are described in the sections 6 and 7.

If no progress is made in the process of certification for more than 3 months due to lack of information from the applicant the process will normally be terminated. The applicant will in a written inquiry be informed of this, and given a deadline for feedback before the process will be terminated and the application dismissed.

6. Audit

6.1 General

In the following we will describe the various types of audits that Kontrollrådet carries out.

It is being presumed, that Kontrollrådet's representatives are being given access to premises, areas, personnel and documents, which are important for the accomplishment of the audit and the following evaluation. In connection with Kontrollrådet's accreditation as a certification body, it is being presumed that personnel from Norsk Akkreditering (Norwegian Accrediting) is being given access to the company, in the same way as the representatives from Kontrollrådet, as a part of NA's follow-up of Kontrollrådet's accreditation.

The calculation of man hours related to the audits concerning the system- and environmental certification will be based on the IAFs Mandatory Document 5 – Duration of QMS and EMS Audits.

6.2 Pre-meeting (step 1)

When the application form, together with the enclosed documents have been examined and possible, unanswered questions in this connection have been answered, the need for a pre-meeting will be decided.

In connection with application and handling of the application, the company and the certification body do have the opportunity to agree upon an advance meeting, in order to go through the application documentation, production and the further process. Such an advance meeting, within the system- and environmental certification, shall be held as a part of the certification process.

6.3 Initial audit (step 2)

When all matters defined in clause 6.2 have been settled, an initial audit will be carried out. During this audit the entire company will be examined with basic in the relevant documents. An audit report will be written with stated observations as well as possible non-conformities and/or findings to be followed up at the next audit.

6.4 Surveillance audits

When the company has been certified, it will be subject to surveillance audits in accordance with the requirements in the technical specification(s). These audits may be carried out with a smaller scope compared to the initial audit. But the scope of each audit will be such that during a certificate period the entire company will be examined.

With regard to management system certification of companies having several sites included in the certification the requirements of IAFs Mandatory Document 1 – Certification of Multiple Sites Based on Sampling will be a basic document.

6.5 Recertification

A full examination of the company will be carried out prior to the expiration of the certificate, corresponding to the initial audit, unless something else has been stated in the technical specification, which forms the basis for the certification.

The reports from previous audits will be part of the basis for this recertification.

6.6 Extra audit

Extra audits may be imposed upon the company, in the following cases;

- of special follow-up after first time certification
- of major non-conformity(ies), in relation to certification provisions or product specification
- of application for expansion of the certification scope, see clause 5.2
- of changes, which may have or have had important effect on product, processes or quality, see clause 8
- of failure to reply to non-conformity(ies) within stated deadlines
- of needs for follow-up, which cannot be closed through sent documentation
- on expire of a period of suspension or termination of the certificate, see clause 9.3

Decision regarding extra audit will be communicated to the company in advance and may be appealed.

7. Certification

7.1 Granting of certificate or production permission

The audit report from the initial audit, the applicant's replies to possible non-conformity(ies), the company's application and possible, additional documents, as well as results from possible external product testing shall be presented to the certification manager, following an advance examination and recommendation by an official in charge. Based on these documents and recommendation the certification manager makes a decision about granting of production permission, certificate or possible rejection.

Possible complaints or appeals in connection with the process will be addressed in accordance with clause 11.

7.2 Period of Certification

In case of granting of a production permission, this will normally be valid for a period of up to 6 months and presumed replaced by a certificate, prior to expiration. Production permission may be granted, regardless of minor deficiencies in a company's production control system, under the condition that such deficiencies are not being considered to have direct influence on the product quality. A production permission is not being granted within the system- and environmental certification.

In case a certificate is being granted, it will be issued for certain a period. Regarding the system- and environmental certification this period is determined to be 3 years.

7.3 Maintenance of certificate

When a certificate has been granted, it will be maintained by Kontrollrådet's administration, through the audits stated in clause 6.4. Should there be doubts as to whether a certificate may be maintained; the matter will be presented to the certification manager for decision.

Well before the expiration date of the certificate, a renewal of the certificate will be evaluated with basis in the full examination, which has been made of the company, please see clause 6.5. The procedure for renewal will be same as for the initial granting.

Possible complaints or appeals will be handled in accordance with clause 11.

8. Information in cases of changes

8.1. The responsibility of the company

A certified company is obliged to inform Kontrollrådet in writing, in cases of changes that may have had or have important influence on products, processes, quality or the scope/validity of certification.

Such changes may be modification of product or product specifications, changes in production equipment or -process, start-up of new products within the scope of certification, changes in quality system or organisational structure, change of ownership, etc.

Based on such information Kontrollrådet will decide the need for special documentation, extra audits or other special follow-up. At the same time it will be decided as to whether the products, with such changes still may be covered by the certificate. Kontrollrådet's decision may be appealed in accordance with clause 11.

8.2 Kontrollrådet's responsibility

Kontrollrådet shall keep the certified companies updated with regard to changes in the basis of the certification; i.e. the provisions, standards or technical specifications. This will be managed from the Kontrollrådet's webpage (www.kontrollbetong.no) and in connection with the audits.

According to the Law on Public Administration Kontrollrådet is obliged to inform and guide the certified companies and other parties in this field, concerning questions regarding the certification systems or requirements related to these.

9. Non-conformities related to certification requirements

9.1 General

In cases of non-conformities related to certification requirements Kontrollrådet may apply the following means;

- the company must, within a specified time give a description of which corrective actions that have been initiated/will be initiated in order to correct the demonstrated non-conformity
- the company's certificate may be suspended for a specified time
- the company's certificate may be withdrawn

9.2 Required corrective action in cases of non-conformity

An audit finding will be presented as a Major non-conformity or a Minor non-conformity. Kontrollrådet will set a date for the company to reply to the non-conformity(ies).

In the reply the company shall give a presentation for which corrective measure has been or will be initiated. The company shall enclose documentation for how the non-conformity has been corrected, in the following cases;

- in case of Major non-conformity
- in cases of first time certification and recertification
- in case of Minor non-conformity within systems with only one annual follow-up visit

Within systems with two or more annual follow-up visits, the described, corrective actions will normally be followed-up during the next audit and no documentation will be needed.

In cases of lacking or insufficient reply from the company, or in case of a major non-conformity, Kontrollrådet may decide that an extra audit shall be carried out, see clause 6.4.

In addition some audit findings will be presented as Observation to be followed up at our next audit. There will be no need to reply to these.

9.3 Suspension or termination of the certificate

If non-conformities cannot be responded to within stated deadlines or if the non-conformities are very severe, the certificate may be suspended for a limited time. Such a suspension will normally be limited to 6 months and presumes that the company has corrected the conditions, which were the basis for the suspension, in a satisfactory way, before the certificate is made valid again. The conditions that may lead to suspension correspond to the ones stated in clause 9.4.

In addition, a company may itself ask for termination of the certificate. Such a voluntary termination cannot be granted for a period exceeding the expiration date of the certificate. Before the certificate is being given normal status again, Kontrollrådet may decide, that an extra audit shall be carried out, see clause 6.6.

A suspension or termination of the certificate will be noted on Kontrollrådet's overview over certified companies.

9.4 Withdrawal of certificate.

Kontrollrådet may withdraw a certificate based on:

- failure to correct given non-conformities
- major non-conformities with respect to current product specifications
- abuse of the K-mark, certificate or audit report, as the company is giving misleading information about the product's properties or the scope of the certification
- the fact that Kontrollrådet's representative(s) are being denied access to premises, areas, personnel or documents, which are of importance for the execution of the audit or the following evaluation
- lacking payment of invoices from Kontrollrådet
- other conditions with the company, that prevent the carrying out of the audit, for example safety conditions
- the fact that there has not, during a period of 2 years, been made products or services within the scope of the certificate, unless other has been stated in the current technical specifications for the area

In cases of withdrawal of a certificate, the holder of the certificate should be aware of the responsibility and duties that rest with the company, according to clause 13, with regard to use of Kontrollrådet's trademark and certificate. Possible complaints or appeals in cases of such withdrawal are being handled in accordance with clause 11.

10. Voluntary withdrawal

A company may withdraw from the certification system at its own wish.

Upon withdrawal the company should pay special attention to the requirements of clause 13.

11. Complaints and appeals

11.1 Complaints

With complaints are meant objections against parts of Kontrollrådet's activities in connection with the certification system. This may, for example be objections to the execution of audits or the report from such audits itself, or the possible, stated non-conformity(ies). Complaints, as stated in the afore mentioned, shall normally be reported to Kontrollrådet's administration within three weeks after the condition that is being complained against has been made known to or ought to have been known by the company.

Such complaints are being handled by Kontrollrådet's administration. Decisions made by the administration in connection with such complaints may, however, be appealed to the board of Kontrollrådet.

11.2 Appeals

Decisions made by Kontrollrådet's administration, including decisions regarding certification, may be appealed to the board of Kontrollrådet. Such appeal shall normally be made within three weeks after the company was informed about or ought to have known about the decision.

An appeal shall be addressed especially to the board of Kontrollrådet, and the company must also state especially, as to whether it has objections to one or more of the board members taking part in the handling of the appeal.

Information about the composition of the board and the board members appear in the Kontrollrådet's annual report, or may be given by contacting Kontrollrådet's administration.

The board's decisions in appeal cases are final, within the voluntary certification activities and cannot be appealed to a higher instance.

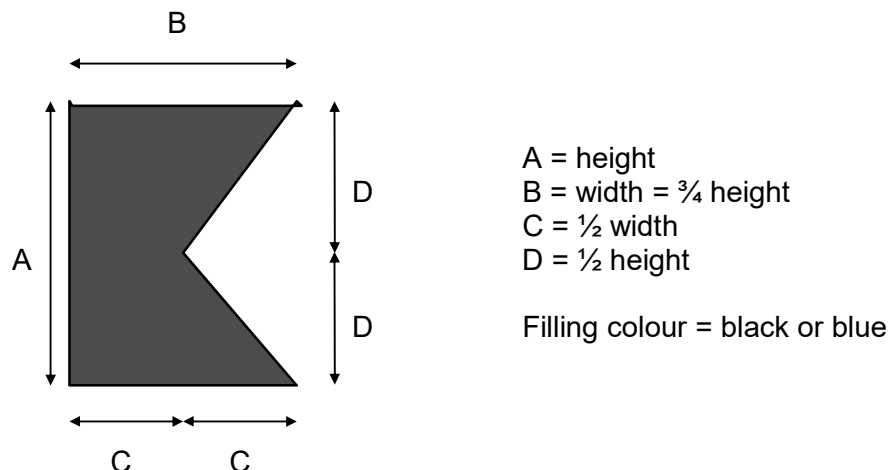
The board decision regarding Kontrollrådet's activities as a Notified Body may be appealed to the Direktoratet for byggkvalitet (DiKB) (National Office for Building Technology and Administration). The appeal in such cases shall be addressed to DiBK, but sent to Kontrollrådet within 3 weeks following the communication of the board decision. Kontrollrådet will forward the appeal to DiBK for decision.

12. Handling of information

Information of financial or technical nature regarding the individual company, brought to the knowledge of Kontrollrådet through the certification activities, is subject to professional secrecy and will be treated confidentially to the degree it does not violate Norwegian laws.

13. The use of Kontrollrådet's registered trademark and certificate

Kontrollrådet has registered the following trademark, which may be used by certified companies:



Companies being product certified within Kontrollrådet's voluntary certification systems shall use the K-mark when marking the products that are covered by the certification. It shall be put directly on the product, to the degree possible. Otherwise the mark shall be used on labels identifying the product's origin and properties.

Companies being certified by Kontrollrådet as a basis for CE-marking must not use the K-mark in conflict with the CE-marking, required in the product standard's Annex ZA. If the company wishes to make use of the K-mark in connection with such products, both use and placing must be clarified with Kontrollrådet beforehand.

Companies with the Kontrollrådet's system- and environmental certificate only, cannot use the K-mark on their products or product packaging.

The mark, the certificate or reference to the certification may also be used by the affiliated companies in their marketing of company and/or products. Such use shall beforehand be presented to Kontrollrådet for approval, and must only refer to products and services, which are covered by the certification.

Norsk Akkrediterings (NA's) logo may also be used in connection with Kontrollrådet's accrediting, together with Kontrollrådet's logo, on given terms, stated in NAs document no. 14. Should there be a wish for combined use of Kontrollrådet's and NA's logo, it shall also be presented to Kontrollrådet for approval beforehand.

Kontrollrådet's certificate may be copied and used as documentation of the fact that the company is placed under an independent certification system and meets the requirements in Teknisk Forskrift 10 (Building Regulation 10) to documentation of the product's properties. The certificate must only be copied and used in its entirety and with attachments, if any, included.

Should the company withdraw from certification or that its certificate is withdrawn by Kontrollrådet, the mentioned use and marking must cease immediately. The company must at the same time stop the possible use of documents and advertising material, where the mark or reference to the certification is being made.

14. Announcement to the public

In its annual report Kontrollrådet presents a general reference to the activity within the different areas. Further, Kontrollrådet gives the public an overview of all companies affiliated with the different systems being operated by Kontrollrådet, and what they are certified for.

The overview is available at Kontrollrådet's website (www.kontrollbetong.no).

15. Costs

15.1 General

For certification according to these provisions, a fee to Kontrollrådet shall be paid. The types and sizes of fees are being decided each year by the board of Kontrollrådet.

An overview over Kontrollrådet's types of fees and the size of those is every year being sent to all certified companies.

15.2 Annual fee

When a certificate or a production permission has been granted, the company will be charged with an annual fee. The size of the fee will be calculated on the basis of in which quarter of the year one got certified or granted a production permission. One will thereafter be charged annually with such a fee, and an invoice will normally be sent out in January of every year. Already paid annual fee cannot be demanded paid back, in part or in its entirety, at a possible withdrawal from the system.

15.3 Audit costs

The audit costs are direct costs in connection with the audit, i.e. hourly costs in connection with preparations, travels, auditing and reporting. Actual travel costs are being invoiced in addition. The audit costs are being invoiced upon a completed auditing and reporting.

15.4 Other costs

The actual costs for handling of applications, including a possible pre-meeting, initial audit, extra audit and recertification are being charged for the work.

Granting of certificates or changes in the certification scope will be charged with an extra fee.

16. Liability insurance

Kontrollrådet has taken out a separate, limited liability insurance for the activities.

Appendix 1

Summary of areas where the Kontrollrådet offers certification

Product certification

- class A - Ready-mixed concrete *)
- class B - Concrete products for buildings, etc. *)
- class C - Pipe- and manhole elements of concrete
- class D - Precast, concrete elements *)
- class E - Steel structures
(certification is only offered within the execution classes EXC1, EXC2 and EXC3) *)
- class F - Light weight concrete products *)
- class G - Admixture and additions *)
- class H - Laboratories
- class K - Reinforcement and steel components *)
- class L - Products of cast iron
- class M - Cement *)
- class N - Street-,road- and park products of concrete
- class O - Products for the protection and repair of concrete structures *)
- class P - Aggregates *)
- class R - Mortar *)
- class S - Asphalt and associated bitumenious mixtures *)

Within the product areas marked with *) Kontrollrådet is appointed as Notified Body, in accordance with the Norwegian Law of Notified Bodies – June 1994 .Kontrollrådet also holds an accreditation for product certification within most of these areas. A voluntary product certification is being offered in the other areas.

Environmental- and system certification

Kontrollrådet offers accredited certification, with basis in the standards;

- NS-EN ISO 9001:2015
- NS-EN ISO 14001:2015

Management system certification is mainly offered within the areas where Kontrollrådet offers product certification and to customers already holding a product certificate or applies for this. All of the above product areas are within the IAF-codes 2, 15, 16, 17 and 39 except for class H.

Appendix 2

Certification of mobile units

For mobile units, the following clauses apply:

1. Before a unit is moved to a new production site, Kontrollrådet shall be informed in writing, of the new location of the unit and any changes in personnel and equipment. If possible, results from type testing and initial testing shall be included. When required, declaration of the relevant products shall be submitted.
2. If the unit is moved repeatedly, certain conditions regarding production and documentation may be given:
 - With each change of location, increased test frequency of some of the properties may be required. The results of these tests shall be reported to Kontrollrådet.
 - It is further presumed that the results from these tests are used actively in the management of the production.

The above mentioned will be determined in each case, dependent on Kontrollrådet's experience with the company and the unit, and how requirements from Kontrollrådet has been followed up previously.
3. It is presumed that the company has included in the production control system, routines and procedures regarding a mobile production. These procedures shall also be in accordance with the special conditions that are stipulated by Kontrollrådet regarding mobile units.

It is further presumed that each unit has established a production control system which is adapted to the specific location, if necessary. These conditions will be followed up during the initial audit of the unit.
4. Further it is presumed that the company has established a system of registration and documentation giving Kontrollrådet access to the results from all locations of production during the certification period. The company must also name a contact person for Kontrollrådet.
5. If the above mentioned conditions are not met an audit of each location may be considered in replacement of an annual audit.