

SEECERT Supplier documentation

According to ISO/IEC 17065

Provider documentation

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1 General information for applicants

Certification Body SEECERT of TÜV NORD Systems GmbH & Co. KG

With this supplier documentation we give you the basic information necessary for your application for certification. For further information, the Certification Body SEECERT is at your disposal via the following contacts

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The Certification Body SEECERT is financially supported by TÜV NORD Systems GmbH & Co. KG.

The term product refers to certified products, processes, services and management systems.

1 General information for applicants

The Certification Body SEECERT is accredited under the following **accreditation** number of DAkkS :

D-ZE-11074-01-00

The Certification Body SEECERT operates the following certification programmes:

- Zertifizierungsprogramm Leittechnik (SEB-ZE-SEECERT-VA-320-20) for the following area
 - Railway technology / control and safety technology
 - Power plant control and safety technology
 - Functional safety
 - Automotive / Functional Safety
 - Low voltage technology
- For the certification of
 - Software
 - Hardware
 - Software-Hardware-Systems
 - Processes

1 General information for applicants

- Zertifizierungsprogramm Brandschutz (SEB-ZE-SEECERT-VA-320-40) for the specialist area of
 - Fire protection / Railway technology
- For the certification of
 - Electrical products
 - Wagon construction parts
 - Electrical cables
 - Fire barriers
 - Other fire protection products

Further information can be found in the accreditation certificate.

~~The Certification Body SEECERT is Notified Body according to the Marine Equipment Directive 2014/90/EU (Notified Body number: 0045).~~

2 Obligations/Duties of SEECERT

SEECERT has to

- Operate at least one certification scheme covering the activity in the field of certification
- Demonstrate a legally enforceable certification agreement (contract, PZO) for the provision of certification activities to their customers. The agreement must take into account the responsibilities of the certification body and its customers.
- Provide additional information on the application at the request of the customer.
- Make necessary arrangements regarding evaluation, monitoring, documentation review and access to appropriate resources.
- Investigate complaints.

The contents of the certification agreement (contract, PZO) are described on the following pages.

3 Obligations/Duty of the applicant

SEECERT expects, that its customers

- Always comply with the certification requirements (EN ISO/IEC 17065, 3.7),
- Arrange necessary implementation in case of changes of the certification requirements, if these have been communicated by the certification body SEECERT (EN ISO/IEC 17065, 7.10),
- Continue to ensure compliance with the product requirements (EN ISO/IEC 17065, 7.10) during ongoing production of certified products, and
- Use the certification in advertising in a serious manner (EN ISO/IEC 17065, 4.1.2.2)

4 Application

The applicant's application for certification shall be provided to the certification body SEECERT with all necessary information to carry out the certification process according to the applicable certification scheme.

The application should contain the following information:

- Company form, name and address
- Specifications of the production sites
- Description of the product(s) to be certified (product specifications)
- Drawings, part lists with the details of the materials used, catalogues, data sheets
- Information on the intended use and field of application
- List of applicable standards and regulations
- Test reports with test protocols and certificates with tests already carried out
- Operating instructions, installation and assembly instructions
- Description of the quality management system and QM certificate, if applicable
- Proof of the quality-related measures in production
- Representative test samples (only on special request)

4 Application

The application procedure is initiated when the applicant contacts the certification body SEECERT. If sufficient information on the certification is available, SEECERT will prepare an offer individually tailored and calculated to the needs of the requested certification. With the order by the applicant and acceptance of the order by SEECERT, a contract is concluded with the customer. The application is thereby accepted.

Insofar a cortication is commissioned and monitoring measures are required in accordance with section 12 of this supplier documentation, the monitoring measures defined by SEECERT in the respective valid certification scheme shall apply and shall be carried out as defined.

5 Application Review

Certification body SEECERT shall carry out an review of the information provided with the application to ensure the following:

- That the information provided concerning the applicant and the product are sufficient to carry out the certification process,
- That all known defences in understanding between the certification body and the applicant have been resolved, including agreement on technical standards
- That the planned certification is covered by the scope of the certification body,
- That the equipment and recourses to carry out the evaluation are available and
- That the certification body SEECERT has the capacity and competence to carry out the certification.

If, after the application review, it turns out that the planned certification is not within the designated scope of the certification body SEECERT or cannot be carried out, the applicant's application shall be rejected.

6 Evaluation

- The certification body SEECERT or the respective involved evaluation body shall establish an evaluation plan in order to apply all necessary regulations.
- SEECERT shall ensure that all necessary information is available for the evaluation.
- SEECERT performs the evaluation or commissions an accredited and/or suitable evaluation bodies to perform the evaluation agreed with the customer.
- SEECERT may use evaluation results from other accredited bodies which were also completed before the application was submitted.
- The certification body SEECERT shall inform the applicant of any non-conformities that occur and provide additional evaluation tasks to verify the non-conformities that have been corrected by actions of the applicant.
- The results of the evaluation are summarised and documented in an evaluation report. This may only be used in its entirety.

7 Subcontracting

- With the agreement of its customers, SEECERT may subcontract certain certification steps.
- SEECERT is entitled to commission evaluation bodies with the evaluation or partial evaluation of the product.
- The commission of the participation of other bodies always takes place in agreement with the applicant.

8 Review

- The evaluation report is reviewed by an employee of the certification body SEECERT. The staff member carrying out the assessment is not allowed to be involved in the review process.
- The evaluation is divided into the
 - Qualitative review (content-related review of the evaluation) and in the
 - Quantitative review, which is an additional hurdle (mathematical review of the evaluation results) for obtaining certification, in case the certification scheme defines these.
- The results of the review is summarised and documented in a review report.
- Recommendations for the certification decision are also documented.

9 Certification Decision

- SEECERT is responsible for the certification decision and retains the sole right to do so.
- SEECERT authorises an employee of the certification body to make the certification decision based on the evaluation and review report and further information
→**Note:** Review and certification decision may be made by the same person
- SEECERT shall inform the applicant about the reasons in case of a certification decision not to grant the certification.

10 Certification Documentation

SEECERT shall issue for the applicant a certification documentation in form of a certificate clarifying the following elements:

- Name and address of the certification body ,
- The date at which the certification was granted ,
- Name and addressee of the customer,
- The scope of the certification,
- The period or expiry date of the certification,
- Other information required by the certification scheme,
- The certification documentation shall have the signature of an authorised person.

11 List of Certified Products

SEECERT stores the information of certified products in a database. It contains at least the following elements:

- Identification of the certified products ,
- The standard(s) and other normative documents, which conformity has been certified, and
- An unique identifier

On request, SEECERT is obliged to inform about the validity of a specific certification.

In order to inform consumers, SEECERT reserves the right to publish the issued certificates (for download) as well as a list of the certified products. Thus consumers have the possibility to inform themselves about the certificates and to verify their authenticity.

12 Surveillance

After each successful certification, SEECERT performs a surveillance of the contractual use of the certificate and the conformity mark, the certificate-conform consistent product quality, the further maintenance of the conformity to the certified scope, as well as the production site and product quality according to the valid certification scheme.

The surveillance is carried out with the following intervals:

- Annually at the latest
 - All components of the fire protection (railway technology) with a surveillance questionnaire
- At the latest every two years
 - For software (exclusively) or processes with an issued conformity mark with a surveillance questionnaire
 - For hardware or hardware-software systems
 - by surveillance questionnaire (for railway technology)
 - by production site inspection (for every product except railway technology)
- At any time on a defined occasion

13 Charges for Surveillance

The following fees are charged for surveillance:

- For surveillance and, if applicable, extension of the validity of a certificate by surveillance questionnaire without any changes to the product, its processes or the certification basis, a daily rate is generally charged.
- For surveillance by production site inspection, the fee is based on the expected expenditure in the individual case.

The notice period is monthly to the end of the quarter. The certificate's validity ends prematurely upon termination. Deviations from the above prices shall be regulated in individual contracts.

14 Changes affecting Certification

If a product is/was certified and the certification basis changes the very next day (e.g. due to the withdrawal of a standard), it is not justifiable to withdraw the certificate as well, especially since the statement of conformity to the previous edition of the certification basis is correct.

Nevertheless, certificates for certification bases that have already been changed should only be valid for a limited time and then no longer be valid or extended in order to maintain the state of the art. The transition period for applicants to switch to the amended certification basis corresponds to the period of validity of certificates.

Conclusion: The certificate ends at the latest 3 or 5 years (depending on the period of validity of certificates) after the end of the validity of a certification basis.

15 Termination, Restriction, Suspension or Withdrawal of Certification

Refusal

The issuance of a certificate shall be refused if the product does not comply with the applicable requirements.

Termination

A certificate is terminated / expires:

- The conditions for the termination of the validity of a certificate are regulated in the PZO, if necessary the certificate must be withdrawn and/or
- by expiring and thus the mark of conformity, if awarded, may not be used any further (see PZO).

Restriction

A certificate is restricted by withdrawing it and issuing a certificate with a restricted scope (and new certification ID) for the product.

15 Termination, Restriction, Suspension or Withdrawal of Certification

Suspension

A certificate is suspended for a defined period of time – it is declared invalid with immediate effect or for a period of time in the future, if the conditions for withdrawal are met and it is reasonable to expect that these conditions will be remedied within a period of six months from the date of suspension.

Revocation

A certificate is revoked (declared invalid / prematurely terminated at a defined point in time – in the past) if the conditions for termination, restriction, suspension or withdrawal would already have been fulfilled in the past and maintaining the certificate since then would no longer have been justifiable in the current view.

Withdrawal

A certificate is withdrawn (declared invalid / prematurely terminated at a defined point in time – immediately or in the future):

- The conditions for the termination of the validity of a certificate are regulated in the PZO and/or
- a new version of the certificate is issued and there is a reason for withdrawal.

16 Records

The certification body SEECERT keeps all records related to the certification process in order to demonstrate that all requirements (standards and certification schemes) have been effectively fulfilled.

The SEECERT certification body shall keep all records confidential.

These records shall be kept for at least ten years beyond the duration of a contract.

17 Complaints and Appeals

Complaints shall be submitted in writing, state the facts of the case and include a request.

Complaints concerning the effectiveness of the QM system and rules for the performance of SEECERT's certification activities shall be submitted to the Certification Body's Advisory Board. If necessary, it shall request corrective action and monitor its implementation.

Appeals against a decision of SEECERT are handled by the SEECERT management. In special cases, the advisory board is called in. It works towards an amicable settlement or an arbitration award.

Complaints about a product:

The certificate holder shall record all complaints concerning the safety of the certifier body and the resolution of these complaints and make them available to SEECERT for inspection on request.

18 Documents required from the Costumer “Leittechnik”

The documents to be submitted by the applicant result from the relevant information required in the certification bases and, if applicable, specified document schemes.

The following table provides an indication of the documents required from the client for the area of “Leittechnik” in accordance with a functional safety standard. The final documents required for a specific product certification must be determined on a case-by-case basis.

Document	System	Software	Hardware
Requirement specification	X	X	X
Design, Hardware			X
Design, Software		X	
Hardware documentation			X
Software documentation		X	
Target Hardware	X		X
Code	X	X	
User Manual	X	X	X
Already issued Certificates	X	(X)	(X)
QM-Documentation	X	(X)	(X)

18 Documents required from the Costumer “Brandschutz”

The documents to be submitted by the applicant result from the relevant information required in the certification basis and, if applicable, from the specified document schemes.

In addition, a valid ISO 9001 (or comparable) certificate must be submitted to ensure consistent product quality.

The following table provides an indication of the documents required from the customer for the area of fire protection in railway engineering. The final documents required for a specific product certification must be determined on a case-by-case basis.

Document	Fire Protection
Test Reports	X
Technical Description / Specification	X
Construction Drawings	X
User Manual	X
Already issued Certificates	X
QM-Documentation	X
ISO 9001 Certificate	X

19 Document Formats

The formats for the documents (files, texts and graphics) are freely agreed between the provider and the certification body.

The circumstances at the participating bodies may make additional formats necessary. SEECERT reserves the right to convert the provider's documents into other formats.

20 Languages

German or English as a rule

Other languages by arrangement

21 Costs

The costs charged to applicants and suppliers of certified products consist of the costs for

- the initial certification,
- the use of certificates and marks of conformity
- surveillance and inspection of production sites
- the processing of changes.

Fees are charged for SEECERT's activities. They are based on the expected expenditure in the individual case.

Fees incurred through the commissioning or involvement of another body will be invoiced separately to the customer. The customer will be informed of the fees to be expected before the commissioning or involvement of another body.