

DECISION

7 April 2011 .

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Moscow

ON REGULATION ON PROCEDURES FOR APPLICATION OF THE MODEL SCHEMES OF CONFORMITY ASSESSMENT (CONFIRMATION) WITH THE TECHNICAL REGULATIONS OF THE CUSTOMS UNION

Customs Union Commission has decided to:

1. Approve the Regulation on Procedures for Application of Model Schemes of Conformity Assessment (Confirmation) with the Technical Regulations of the Customs Union ([attached](#)).

2. Parties are to ensure the use of Model Schemes of Conformity Assessment (Confirmation) with the Technical Regulations of the Customs Union in drafting technical

ON REGULATION ON PROCEDURES FOR APPLICATION OF THE MODEL
SCHEMES OF CONFORMITY ASSESSMENT (CONFIRMATION) WITH THE
TECHNICAL REGULATIONS OF THE CUSTOMS UNION

1. Regulation on procedures for application of the model schemes of assessment (confirmation) of compliance with the technical regulations of the Customs Union is developed with a view to implement provisions of Agreement on Common Principles and Rules of Technical Regulation in the Republic of Belarus, Republic of Kazakhstan and Russian Federation dated November 18, 2010.

2. For products, the requirements for which are stipulated in the technical regulations of the Customs Union (hereinafter - the Technical regulations), conformity assessment is carried out in the form of confirmation of compliance (declaration of conformity, certification), registration including the state registration, assessment, validation, testing, state control (supervision), and (or) any other form.

Conformity assessment in the form of registration, expertise, applicability appraisal, state control (supervision) and (or) in other form is set by the de

7. Model schemes of conformity confirmation is a set of actions (elements), the results of which are used to make decision on compliance (non-compliance) of products with requirements of technical regulation.

In general, such actions (elements) include:

- analysis of technical documentation;
- identification, product testing, examination of the type of a product;
- assessment of production, production control;
- issuance of a certificate of conformity, a declaration of conformity with technical regulations of a single form approved by the Customs Union Commission (hereinafter - certificate of conformity, declaration of conformity);
- registration of the declaration of conformity;
- Application of a unified (single) circulation sign of products in the market of the member-states of the Customs Union (hereinafter - application of a single circulation sign);
- Inspection control.

8. Analysis of the technical documentation is an integral element of each model scheme and may include:

Analysis for the identification of a product;

analysis to determine applicability of the technical documentation for conformity assessment;

examination of the project.

9. Content of the technical documentation confirming compliance of products with the requirements of technical regulations is established in a certain technical regulation, and in general may include:

Technical specifications / descriptions (if any);

operational documents (if any);

list of standards related to technical regulation, the requirements of which are met by these products (if a manufacturer uses them);

description of adopted technical decisions, confirming compliance with requirements of technical regulations, if standards related to technical regulations are absent or not applied;

protocols of acceptance, acceptance-hand-over and other tests conducted by Applicant and/or accredited testing laboratories (centers), confirming the compliance of the products with requirements of technical regulations;

documents, confirming the safety of a product under legislation of the Customs Union and the member-states of the Customs union;

Certificate of conformity for management systems;

Certificate of conformity or test reports for raw materials, materials, accessories or components of the product;

other documents, confirming the safety of the product.

10. Examination of the project of the product may be conducted through analysis of the technical documentation, in accordance with which the products are manufactured and the results of calculations and tests of experimental samples of products.

11. Examination of the type of the product may be carried out through:

examination of sample for planned production as a typical representative of products;

analysis of technical documentation, product sample tests or test of critical components of the product.

12. Assessment of production can be represented by the following main types:

analysis of production condition;

management systems certification.

13. Production control to be carried out by the manufacturer to ensure the stability of conformity of manufactured products to the technical documentation and requirements of technical regulations.

14. Registration of declaration of conformity to be carried out by notification principle in accordance with the procedure set by the Customs Union Commission.

15. Inspection control to be carried out only within the framework of certification and may include:

sample testing of certified products;

analysis of production conditions;

inspection control of certified management system.

16. Control over products whose conformity is confirmed by declaration of conformity shall be conducted within the framework of the state control (supervision).

17. In order to give Applicant the right to choose a conformity confirmation scheme that is the most acceptable for him it is recommended in the technical regulations to specify several model schemes for a certain product that are equivalent as per the level of the justification of their compliance with the technical regulations taking into account their application conditions.

18. Depending on the model scheme of certification, conformity confirmation in the form of certification is carried out by an accredited body on certification, accredited body on certification of management systems, included in the Unified Register of certification bodies and testing laboratories (centers) of the Customs Union (hereinafter –product

22.1.6. At positive test results and analysis of the production condition the certification body shall prepare a certificate of conformity and issue it to the Applicant.

22.1.7. Applicant shall apply a common circulation mark, unless otherwise established in the technical regulations.

22.1.8. Product certification body shall conduct inspection control over the certified products during the term of the certificate of conformity through testing samples of products in the accredited testing laboratory and (or) carrying out analysis of production conditions. At positive results of the inspection control the validity of the certificate of conformity is deemed to

22.2.6. Product certification body shall conduct inspection control over the certified products during the term of the certificate of conformity by testing product samples in the accredited testing laboratory and carrying out analysis of inspection control results by Management systems certification body. At positive results of the inspection control, the validity of the certificate of conformity is deemed to be confirmed and this fact shall be indicated in the act of inspection control. At negative results of inspection control, the product certification body shall take one of the following decisions:

- suspend validity of the certificate of conformity;
- cancel validity of the certificate of conformity.

Decisions taken by the product certification body shall be made known to Applicant.

Product certification body shall make appropriate records in the Unified Register of the Issued Certificates of Conformity and Registered Declarations of Conformity of a Common Form

22.3. Certification Scheme 3c

22.3.1. Scheme 3c involves the following procedures:

- Applicant submits application to product certification body for conducting certification with accompanying technical documentation;
- examination of application and making decision by the certification body on certification of products;
- certification body selects product samples for testing;
- accredited testing laboratory conducts sample testing;
- product certification body analyses the test results and issues certificate of conformity to Applicant;

- common circulation mark is applied to product batches;

22.3.2. Applicant forms technical documentation and applies for certification of batches in one of the product certification bodies that is accredited for this type of product.

The application shall contain the identifying characteristics of the batch and its component units.

22.3.3. The certification body shall inform the Applicant on a decision on the application, containing the conditions of conducted certification.

22.3.4. The certification body shall conduct identification of a batch and selection of samples for testing.

22.3.5. Test of batch (samples from the batch) shall be done by accredited testing laboratory on the instructions of the certification body, that shall receive the test report.

22.3.6. At positive test results, the certification body shall prepare and issue a certificate of conformity to the Applicant.

22.3.7. Applicant shall put a common circulation mark, unless otherwise established in the technical regulations.

22.4. Certification Scheme 4c

22.4.1. Scheme 4c involves the following procedures:

- Applicant submits application to certification body for conducting certification with accompanying technical documentation;
- certification body examines application and makes decision on certification of products;
- accredited testing laboratory conducts sample testing for each item;
- product certification body analyses the test results and issues a certificate of conformity to Applicant

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22.4.4. Accredited testing laboratory shall conduct tests of product unit on the instructions of the certification body, that shall receive the test report

22.4.5. At positive test results, the certification body shall prepare and issue a certificate of conformity to the Applicant.

22.4.6. Applicant shall put a common circulation mark, unless otherwise established in the technical regulations.

22.5. Certification Scheme 5c

22.5.1. 5c scheme involves the following procedures:

- Applicant submits application to product certification body for conducting certification with accompanying technical documentation;

- examination of application and making decision by the certification body on certification of products;

- certification body examines the project;

- certification body analyses the production conditions

- product certification body summarizes the results of examination of the project and analysis of production condition and issues a certificate of conformity to Applicant;

- common circulation mark to be applied;

- inspection control over the certified products.

22.5.2. Applicant shall take all necessary measures to make the manufacturing process stable and ensures compliance of manufactured products with the technical regulations requirements, forms technical documentation and submits the application for certification of its products to one of the product certification bodies that accredits this type of product.

22.5.3. Certification body informs Applicant on decision on the application that contains the conditions for conducted certification.

22.5.4. Certification body shall conduct analysis of the product project by analyzing technical documentation under which the product is manufactured, results of conducted calculations, texts of trial samples of product.

Product project analysis results shall be indicated in the conclusion where the certification body assesses compliance of the product project with the established requirements.

22.5.5. Analysis of Applicant's production condition shall be conducted by certification body. Results of the analysis shall be registered in the act.

22.5.6. At positive results of product project analysis and analysis of the production condition, the certification body shall prepare a certificate of conformity and issue it to Applicant.

22.5.7. Applicant shall apply a common circulation mark, unless otherwise Established in the technical regulations.

22.5.8. Certification body shall conduct inspection control over the certified products during the term of the certificate of conformity by testing product samples in the accredited testing laboratory and carrying out (or) analysis of production conditions. At positive results of the inspection control, the validity of certificate of conformity is deemed to be confirmed and this fact is indicated in the act of inspection control. At negative results of inspection control, the product certification body shall takes one of the following decisions:

- suspend validity of the certificate of conformity;

- cancel validity of the certificate of conformity.

Decisions taken by the product certification body shall be made known to Applicant.

Product certification body shall make appropriate records in the Unified Register of Issued Certificates of Conformity and Registered Declarations of Conformity of a Common Form.

22.1.9. When making changes to the design (composition) of products or its production technology, which may affect the conformity of product with requirements of the technical regulations, Applicant in writing and in advance notifies the products certification body, which decides on the need for new tests and (or) the analysis of the production condition.

22.6. Certification Scheme 6c

22.6.1. Scheme 6c involves the following procedures:

-Applicant submits application to product certification body for conducting certification with accompanying technical documentation, which on a mandatory basis shall include the management systems certificate(copy of certificate) issued by the management systems certification body, confirming that the management system complies with requirements defined in the technical regulations;

- certification body conducts examination of product project;

- product certification body summarizes the results of analysis of Applicant's technical documentation including results of examination of product project and issues certificate of conformity to Applicant;

- common circulation mark to be applied;

- inspection control over the certified products (control over stability of management system functions).

22.6.2. Applicant shall take all necessary measures to ensure the stability of the management system functioning and production conditions for manufacturing products complying with requirements of technical regulations, forms the technical documentation and submits application for certification of its products to one of product certification bodies that is accredited for the given type of product.

The application shall indicate the document for which the management system is certified, taking into account that the technical regulation may set one or more documents, for compliance with which management system shall be certified .

Simultaneously, Applicant shall submit the management systems certificate (copy of certificate).

22.6.3. Certification body shall analyze the technical documentation and examine the product project as per 22.5.4 and at positive results shall prepare a certificate of conformity and issue it to the Applicant.

22.6.4. Applicant shall apply a common circulation mark, unless otherwise established in the technical regulations.

22.6.5. Product certification body shall conduct inspection control over the certified products during the term of the certificate of conformity by testing product samples in the accredited testing laboratory and carrying out analysis of inspection control results by management systems certification body. At positive results of the inspection control, the validity of certificate of conformity is deemed to be confirmed and this fact shall be indicated in the act of inspection control. At negative results of inspection control, the product certification body shall takes one of the following decisions:

- suspend validity of the certificate of conformity;

- cancel validity of the certificate of conformity.

Decisions taken by the product certification body shall be made known to Applicant.

Product certification body shall make appropriate records in the Unified register of issued certificate of conformity and registered declaration of conformity as per the single form .

22.6.7. When making changes to the design (composition) of products or its production technology, which may affect the conformity of product with requirements of the technical regulations, Applicant in writing and in advance notify the products certification body which decides on the need for new tests and (or) the analysis of the production condition.

22.7. Certification Scheme 7c

22.7.1. Scheme 7c involves the following procedures:

- Applicant submits application to product certification body for conducting certification;

- certification body examines the application and takes decision on it;

- product certification body conducts examination of the type;

- product certification body conducts analysis of production condition;

- product certification body summarizes the results of examination of the project and analysis the production conditions and issues certificate of conformity to Applicant;

- common circulation mark to be applied;
- inspection control over the certified product.

22.9.2. Applicant shall take all necessary measures to ensure the stability of the management system functioning and production conditions for manufacturing products complying with requirements of technical regulations, forms the technical documentation and submits application for certification of its products to one of product certification bodies that is accredited for the given type of product.

22.9.3. Certification body shall inform the Applicant on taken decision on the application, containing the conditions of certification.

22.9.4. Certification body shall conduct analysis of technical documentation, results of conducted calculations, product tests and other documents confirming compliance of the product with the established requirements.

Technical documentation analysis results shall be presented in the form of conclusion, where the certification body gives assessment of compliance of product to the established requirements.

22.9.5. At the positive results of the analysis of technical documentation of a product the certification body issues a certificate of conformity and provides it to the applicant.

22.9.6. Applicant shall apply a common circulation mark, unless otherwise Established in the technical regulations.

Product certification body shall make appropriate records in the Unified Register of Issued Certificates of Conformity and Registered Declarations of Conformity of a Common Form.

22.9.7. When making changes to the design (composition) of products or its production technology, which may affect the conformity of product with requirements of the technical regulations, Applicant in writing and in advance notifies the products certification body, which decides on the need for new tests and (or) the analysis of the production condition

23. Description of typical schemes of declaration of conformity.

23.1. Declaration scheme 1d

23.1.1 Scheme 1d includes the following procedures:

- elaboration and analysis of technical documentation;
- implementation of production control;
- testing of product samples;
- acceptance and registration of declaration of conformity;
- application of a common circulation mark.

23.1.2. Applicant shall take all necessary measures to ensure the stability of the production process and compliance of produced products with requirements of technical regulations, forms the technical documentation and undertakes its analysis.

23.1.3. Applicant ensures conduct of industrial control.

23.1.4. In order to monitor product compliance with the technical regulations the Applicant shall conduct testing of product samples. Sample tests shall be conducted at the Applicant's choice in the testing laboratory or in accredited testing laboratory.

23.1.5. Applicant shall prepare declaration of conformity and register and register it on the basis of notification principle.

23.1.6. Applicant shall apply a common circulation mark, unless otherwise Established in the technical regulations.

23.2. Declaration scheme 2d

23.2.1. Scheme 2d involves the following procedures:

- elaboration and analysis of technical documentation;
- testing of product batch (single unit);
- acceptance and registration of declaration of conformity;
- application of a common circulation mark.

23.2.2. Applicant shall form the technical documentation and undertake its analysis.

23.2.3. Applicant shall test product samples (single unit) to provide evidence of the claimed compliance of the product with technical regulations. Testing of product samples (single unit) to be held at the Applicant's choice in testing laboratory or in accredited testing laboratory.

23.2.4. Applicant shall prepare declaration of conformity and register it on the basis of notification principle.

23.2.5. Applicant shall apply a co

23.5.4. Product certification body (accredited testing laboratory), in accordance with their scope of accreditation and at the instruction of Applicant, shall conduct examination of the type of the product in one of the following ways:

- examination of a sample as a typical representative of all future products for planned production;
- analysis of technical documentation, tests of a sample or critical components of the product.

Results of such examination to be stated in the conclusion of (certificate of conformity) and (or) protocol where the accredited testing laboratory assesses the compliance of product type to the requirements.

23.5.5. Applicant shall prepare a declaration of conformity and register it on the basis of the notification principle.

23.5.6. Applicant shall apply a common circulation mark, unless otherwise established in the technical regulations.

23.6. Declaration scheme 6d

23.6.1. Scheme 6d involves the following procedures:

- Development and analysis of the technical documentation which on a mandatory basis includes the management systems certificate(copy of certificate) issued by the Management systems certification body which confirms compliance of management system with requirements defined in the technical regulations;

- implementation of production control;
- testing of product samples;
- acceptance and registration of a declaration of conformity;
- application of a common circulation mark;
- control over the stability of the management system functions.

23.6.2 Applicant shall take all necessary measures to ensure stability of the management system functioning and production conditions for manufacturing of products in accordance with requirements of technical regulations, forms the technical documentation and its analysis considering that the technical regulations may set one or more documents for compliance with which the management system is being certified.

23.6.3. Applicant shall provide industrial control and inform the management certification body about all the planned changes to the management system.

23.6.4. Applicant shall conduct testing of product samples. Testing of product samples shall be conducted in the accredited testing laboratory.

23.6.5. Applicant shall prepare a declaration of conformity and register it as per notification principle.

23.6.6. Applicant shall apply a common circulation mark, unless otherwise Established in the technical regulations.

23.6.7. Management systems certification body shall conduct inspection control over functioning of certified management system.

At negative results of inspection control, Applicant shall take one of the following decisions:

- suspend validity of the declaration of conformity;
- cancel validity of the declaration of conformity.

Applicant shall make appropriate records in the Unified Register of Issued Certificates of Conformity and Registered Declarations of Conformity of a Common Form.

24.Storage of technical documentation

Procedures for storage of technical documentation including documents confirming conformity shall be established in the appropriate technical regulations. In general, technical documentation, including documents confirming conformity, within the territory of the Customs Union member-states should be stored for:

products - at manufacturer (authorized person of manufacturer) not less than 10 years from the date of withdrawal (termination) from production of the given product;

product batch (single unit) - at seller (supplier), manufacturer (authorized person of manufacturer) not less than 10 years from the date of sale of the last unit of the batch.

Documents and materials, confirming the results of certification shall be stored in the certification body which issued the certificate of conformity within not less than 5 years after the expiry of the certificate of conformity.

The above documents shall be provided to the state supervision bodies upon request.

and examination of documentation	conditions		(producer)	registration
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Annex C

Model schemes of certification

				(supplier) including foreign, , in the presence of a person authorized by a manufacturer in the territory of Customs Union	
7C	Examination (testing) of type	Analysis of the production condition	Product sample tests and (or) production condition analysis	For complex products intended for serial and mass production as well as in case large number of different modifications of product are planned to be produced	Compliance certificate for serially manufactured products
8C	Examination (testing) of type	Management systems certification	Testing of product samples and inspection control of management system	Applicant - manufacturer, including foreign, , in the presence of a person authorized by a manufacturer in the territory of Customs Union	
9C	On the basis of analysis of technical documentation	-	-	For limited volume batch supplied by foreign producer or for complex products intended for supply by companies	Compliance certificate for limited volume batch

				<p>within the territory of the Customs Union</p> <p>Applicant - manufacturer, including foreign, , in the presence of a person authorized by a manufacturer in the territory of Customs Union</p>	
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Annex D

	laboratory (center)			of the Customs Union member-state or a person authorized by foreign manufacturer within the Customs Union territory	
4D	Product batch (single unit) testing in accredited testing laboratory (center)	-	-	For product batch (single unit) Applicant - manufacture, seller (supplier) of the Customs Union member-state or a person authorized by foreign manufacturer within the Customs Union territory	Declaration of conformity for product batch (single unit)