

On approval of the Conformity Assessment Rules

Invalidated Unofficial translation

Order of the Minister for Investment and Development of the Republic of Kazakhstan dated October 12, 2018 No. 710. Registered with the Ministry of Justice of the Republic of Kazakhstan on November 19, 2018 No. 17758. Abolished by the order of the Acting Minister of Trade and Integration of the Republic of Kazakhstan dated June 29, 2021 No. 433-NK.

Unofficial translation

Footnote. Abolished by the order of the Acting Minister of Trade and Integration of the Republic of Kazakhstan dated June 29, 2021 No. 433-NK.

In accordance with subparagraph 26) of Article 7 of the Law of the Republic of Kazakhstan dated November 9, 2004 "On Technical Regulation" I hereby ORDER:

1. To approve the attached Conformity Assessment Rules.
2. In accordance with the procedure established by legislation, the Committee for Technical Regulation and Metrology of the Ministry for Investment and Development of the Republic of Kazakhstan, shall:
 - 1) ensure the Public registration of this Order with the Ministry of Justice of the Republic of Kazakhstan;
 - 2) within ten calendar days from the date of state registration of this Order, send it in Kazakh and Russian to the Republican State Enterprise on the Right of Economic Management "Republican Center of Legal Information" for official publication and inclusion in the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan;
 - 3) place this Order on the Internet resource of the Ministry for Investment and Development of the Republic of Kazakhstan;
 - 4) within ten working days after the state registration of this Order with the Ministry of Justice of the Republic of Kazakhstan, submit to the Legal Department of the Ministry for Investment and Development of the Republic of Kazakhstan of the information on the implementation of measures, in accordance with subparagraphs 1), 2) and 3) of this paragraph.
3. The supervising Deputy Minister for Investment and Development of the Republic of Kazakhstan shall be authorized to oversee the implementation of this Order.

4. This Order shall be enforced upon expiry of ten calendar days after the day of its first official publication.

Minister

Zh. Kassymbek

Approved
by Order No. 710 of the Minister
for Investment and Development
of the Republic of Kazakhstan
dated October 12, 2018

Conformity Assessment Rules

Chapter 1. General provisions

1. These Conformity Assessment Rules (hereinafter referred to as the Rules) shall be applied when confirming compliance of product or services (in the form of a declaration of conformation or certification) to the requirements established by technical regulations, standards or conditions of contracts, in terms of product requirements and product-related processes unregulated by technical regulations of the Eurasian Economic Union, International Treaties on the turnovers of various types of products and other documents constituting regulatory structure of the Eurasian Economic Union in the field of technical regulation.

2. The Rules shall be applied with mandatory and voluntary confirmation of compliance.

3. The following basic concepts shall be used in these Rules:

1) accreditation - the procedure for the official recognition by the Accreditation Agency of the applicant competence to perform work in a particular area to confirm the compliance of facilities targeted by technical regulation with the established requirements;

2) the scope of accreditation - officially recognized facilities subject to conformity assessment to which accreditation applies;

3) inspection control - an inspection carried out by an accredited agency to confirm the compliance of certified products and process with the requirements established by technical regulations in accordance with Order No.331 of the Acting Minister for Investment and Development of the Republic of Kazakhstan dated March 26, 2015 "On the Approval of Regulatory Legal Acts on Conformity Assessment" "(registered in the Register of State Registration of Regulatory Legal Acts under No. 10979).

4) mandatory certification - a procedure for confirming the compliance of products to the requirements established by technical regulations, with the participation of confirmation of compliance agencies;

5) identification of products, services - a procedure that provides unambiguous recognition of certain products, services according to distinctive features;

6) safety of products and processes (hereinafter referred to as the safety) - the absence of unacceptable risk associated with causing harm to human life, health, the environment, including the plant and animal world, taking into account the combination of hazard release probability and the severity of its consequences;

7) compliance mark - a designation that serves to inform customers about the passage of a product, service or procedure for confirming compliance with the requirements established by technical regulations, standards and other documents;

8) voluntary confirmation of compliance - a procedure by which confirmation of compliance of products, services, processes carried out upon the initiative of the manufacturer (executor) or the seller for compliance with the standard, another document or the special requirements of the applicant;

9) mandatory confirmation of compliance - a procedure by which the confirmation of compliance of products shall be carried out according to the requirements established by technical regulations;

10) confirmation of compliance - a procedure that results in documentary certification (in the form of a declaration of compliance or a certificate of compliance) of the facility's compliance with the requirements established by technical regulations, standards, or conditions of contracts;

11) conformity assessment body (hereinafter referred to as the CAB) - a legal entity accredited to perform work on confirmation of compliance;

12) conformity confirmation form - a set of actions, the results of which shall be considered as evidence of the compliance of product or service to the requirements established by technical regulations, standards or agreements;

13) document in the field of conformity confirmation - a certificate of compliance issued by accredited CAB, or a declaration of compliance adopted by the manufacturer, supplier of products;

14) conformity assessment scheme (hereinafter referred to as the confirmation scheme) – methods for determining the compliance of a facility with the requirements established by technical regulations, standards or contracts, describing specific stages of this work (testing, production assessment, quality management system assessment, analysis of regulatory and technical documentation and others);

15) conformity certificate (hereinafter referred to as the certificate) - a document certifying the compliance of products and services to the requirements established by technical regulations, provisions of standards or other documents;

16) conformity declaration - a document by which the manufacturer (executor) certifies the compliance of the product or service being put into circulation with the established requirements;

17) certification is a procedure by which the conformity assessment body certifies the compliance of products and services to the established requirements in written;

18) testing laboratory (center) (hereinafter referred to as the laboratory) - a legal entity or a structural unit of a legal entity acting on its behalf, carrying out research, testing;

19) authorized agency - public agency that carries out state regulation in the field of technical regulation.

4. Conformity assessment shall be carried out by the CAB accredited in accordance with the Law of the Republic of Kazakhstan dated July 5, 2008 "On Accreditation in the Field of Conformity Assessment".

5. Costs associated with the work on the conformity assessment shall be paid by the applicant, regardless of its results, on the basis of the contract.

6. Certificates of compliance of foreign states, test reports of products, marks of compliance shall be recognized in accordance with international treaties or agreements concluded with international or regional non-state, non-governmental organizations on accreditation.

Chapter 2. Mandatory confirmation of product conformity

7. Mandatory confirmation of product conformity shall be carried out for compliance with the requirements and confirmation schemes established by technical regulations in accordance with Decree of the Government of the Republic of Kazakhstan No. 90 dated February 4, 2008 "On the Approval of the Technical Regulations "Conformity Assessment Procedures", including through the use of interstate or national standards.

8. Product certification shall include the following procedures:

- 1) application for certification in the CAB;;
- 2) consideration of the application of the CAB application with the attached documents and the adoption of a decision thereon, , including the approval of the confirmation scheme;
- 3) conclusion of agreement for certification;
- 4) identification, sampling and testing;
- 5) analysis of the state of production (if this is provided for by the confirmation scheme);
- 6) analysis of the results obtained and the decision on issue (on refuse to issue) the certificate;
- 7) registration of the certificate in the Register of Public system of technical regulation;
- 8) issuance of a certificate;
- 9) implementation of the inspection control over certified products (if provided by the confirmation scheme);
- 10) providing information on the results of certification.

Section 1. Submission and consideration of application

9. When submitting an application to the CAB, the applicant shall submit all the necessary technical documentation for the sample (s), the composition and content of which is established in technical regulations and regulatory documents on standardization for this product.

10. For product certification, an applicant shall send an application to the CAB for certification with a set of documents:

1) for serial production:

a copy of technical documentation and (or) design, and (or) constructional, and (or) technological, and (or) operational;

a list of standards or other regulatory documents in the field of standardization, in accordance with which products shall be manufactured;

a copy of the document (documents) in accordance with which the product shall be manufactured (organization standard, technical conditions or other document) (if available);

a copy of the certificate of quality management system compliance, if it is valid for the manufacture of products (if available or if required by a confirmation scheme);

a copy of the report on audit of the quality management system and information confirming the ability of the implemented quality management system to ensure a stable output of products that meet the requirements confirmed by certification (if required by the confirmation scheme);

copies of certificates of compliance of critical components, materials, complementary product or parts of the product (if available);

a copy of the contract with a foreign manufacturer providing for ensuring the compliance of products delivered to the Republic of Kazakhstan with the requirements of technical regulations or regulatory documents on standardization and responsibility for non-compliance of such products with the specified requirements (for serial production);

other documents on the choice of the applicant, indirectly confirming the products compliance;

2) for batch production (single product):

a copy of technical documentation and (or) design, and (or) constructional, and (or) technological, and (or) operational;

a copy of the document (documents) in accordance with which the product shall be manufactured (organization standard, technical conditions or other document) (if available);

a copy of the contract and shipping documents identifying a single product or batch production, including its size;

copies of test reports conducted by the manufacturer (if available);
copies of certificates of compliance issued by the foreign CAB ;
other documents on the choice of the applicant, indirectly confirming the products compliance.

11. The applicant may submit to the Cab test reports taking into account the terms of its validity, carried out during the development and production of products, or test documents executed by laboratories accredited in the field of technical regulation.

12. The applicant shall submit to the CAB documents on the compliance of products with the established requirements issued by authorized state agencies within their competence, if it established by the legislation of the Republic of Kazakhstan for certain types of products.

13. The CAB shall consider the application and shall analyze the submitted documents to ensure that:

- the information about the customer and products are sufficient for certification;
- misunderstanding between the CAB and the applicant are resolvable, including agreement on standards or other regulatory documents;
- required scope of certification are defined;
- sufficient resources to complete all certification activities;

14. The CAB shall have the competence and ability to carry out certification and no later than three working days after its receipt, shall inform the applicant about its informed decision in written form.

15. If the results of the analysis of documents are positive, the CAB shall inform the applicant about the decision taken on the application and shall send a draft contract for certification work.

16. The CAB on certification shall refuse to carry out certification if it is not competent or has not the ability to carry out the necessary actions for certification.

17. In the decision on the application, the CAB shall inform the applicant about the final approved confirmation scheme for which certification shall be carried out and all the main certification conditions based on the established procedure for certification of this facility, a list of necessary technical documents, a list of indicators to be checked, the name of the laboratory, and also inspection control conditions.

18. If the applicant agrees with the terms of the confirmation of compliance procedures proposed by the CAB, an agreement for these works shall be concluded.

19. The application shall be accompanied by documents in the National and Russian languages.

20. If the information submitted by the applicant, together with the application, is insufficient to confirm the conformity of the product, the CAB shall offer the applicant to certify the product using another confirmation scheme that shall be appropriate for the product.

21. The choice of regulatory documents for certification of compliance with technical regulations, regulatory documents on standardization shall ensure and establish product characteristics (indicators) of products and test methods, selection rules and control samples to ensure complete and reliable confirmation of product compliance with these requirements and its identification in accordance with paragraphs 7 and 102 of these Rules.

Section 2. Selection of the product confirmation scheme

22. The confirmation scheme shall be determined by the applicant together with the CAB. .

23. During certification, a confirmation scheme shall be used to ensure the necessary evidence of product compliance with the requirements established by technical regulations and regulatory documents on standardization.

Section 3. Product identification and sampling for testing

24. Before sampling, the products shall be identified.

Product identification during certification shall be carried out by the CAB based on the analysis of the documentation submitted by the applicant, visual inspection and simultaneous sampling in accordance with the regulatory document on standardization and these rules.

25. When identifying shall be checked:

correctness of the attribution of the declared products to the requirements of technical regulations, regulatory documents on standardization;

compliance of the marking (inscriptions) of products with the requirements of technical regulations and regulatory documents on standardization;

compliance of the products with the information specified in the marking (inscriptions) and technical documentation (passport, operating instructions, etc.);

the product belongs to the declared lot and to the manufacturer.

26. When identifying a batch of products, the batch size, articles and models, type of packaging and other information given in the accompanying documents shall be additionally checked.

The results of identification shall be reflected in a special document of the CAB (conclusion, identification protocol) or included in the act of sampling.

27. The number of samples, the procedure for its selection, the rules of identification and storage shall be established in accordance with these Rules, technical regulations and regulatory documents on standardization, documents on certification of these products and test methods.

28. Sampling for testing shall be carried out by the CAB or, on its behalf, an accredited laboratory or commission, including an expert auditor, appointed by the applicant in consultation with the CAB.

29. Sampling for testing shall be drawn up by an act of sampling.

30. The selected samples shall be packaged, sealed in the presence of the applicant and sent to the laboratory with the application of the act of sampling of products and technical documentation to them.

31. In cases stipulated by regulatory documents on standardization, control samples of products shall be stored for the shelf life of the product or the validity period of the certificate. Specific periods of storage of product samples shall be set in the regulatory documents for this product.

Section 4. Product Testing

32. During certification, the characteristics (indicators) of products shall be studied; test methods shall be used that allow:

1) to carry out product identification, including checking membership in a classification group, compliance with technical documentation, origin, membership in a given batch, as well as its compliance with characteristics, parameters, indicators and requirements, which together shall be sufficient to confirm compliance of a product with technical regulations and standardization document, shipping documentation, supply agreement (contract), specification, label, tag and other document, characterizes products. The identification shall take into account the importer's compliance with the requirements of the regulatory legal acts of the Republic of Kazakhstan regarding the necessary information in product marking;

2) fully and reliably confirm the compliance of products with the requirements aimed at ensuring its safety established in technical regulations, as well as other requirements that shall be checked with mandatory confirmation of compliance, subject to the conditions of use, storage and transportation of products. The composition of other verifiable indicators shall be determined based on the objectives of certification of specific products.

33. Tests shall be carried out on samples, the design, composition and manufacturing technology of which are the same as that of the products supplied to the consumer.

34. The tests for certification shall be carried out according to the methods provided for in the regulatory documents used in the certification of these products.

35. Tests shall be carried out in the time provided for in the regulatory documentation on the test methods of this facility and agreed with the CAB.

If the test period is not provided for in the regulatory documents, this period shall not exceed 30 (thirty) calendar days.

36. If technical regulations and regulatory documents on standardization have established tests related to high costs, time and difficult to transport products, when conducting certification tests is difficult, and sampling is expensive, the CAB may decide to combine certification tests with the tests conducted in the production process with the participation of representatives of the CAB and the laboratory in accordance with the methods of testing a specific area of accreditation.

37. According to the results of certification tests, the testing laboratory shall issue test protocol (protocols) to the CAB. In the cases stipulated in the technical regulations and (or) in the certification agreement, copies of the test protocol (protocols) shall be sent to the applicant. Test reports shall to be stored not less than 3 (three) years.

Section 5. Issue, refusal, cancellation, suspension of the conformity certificate

38. If the test results are negative, at least in one of the indicators (characteristics), tests for the purpose of certification of the facility shall be terminated;

39. In case of negative results of the conformity assessment of products the CAB shall issue a decision to refuse to issue a certificate indicating the reasons for refusal.

In the event a decision is taken to refuse to issue a certificate, the CAB shall send a decision to refuse to issue a certificate, indicating the reasons for the refusal to the applicant and to the authorized body, by registered mail with delivery confirmation or hand it directly.

40. After checking the documents, including the compliance of the results contained therein with the legislation of the Republic of Kazakhstan and the regulatory documents on standardization, the timing of their issuance, the changes made to the design (composition), materials, technology, the CAB , on the basis of an expert's opinion, shall decide to issue the certificate, or to reduce the amount of testing, or to conduct the missing tests, which shall be reflected in the relevant documents.

In the event of a violation in the submitted documents, the applicant shall eliminate these violations and submit to the CAB for reconsideration only in terms of the violations found.

41. The CAB in the analysis of test reports, production evaluation and other documents on product compliance, shall assess the conformity of products to the established requirements of technical regulations and regulatory documents on standardization. The results of this assessment shall be reflected in the expert opinion. Based on this conclusion, the CAB shall make a decision on issuing or refusing to issue a certificate of conformity.

42. In the case of the decision to issue a certificate, the CCA shall draw up a certificate of the established sample and shall register the certificate in the register of issued certificates.

The certificate shall be valid from the date of its registration and in the presence of a registration number.

43. The certificate shall contain the following information:

1) information on the conformity of products with the established requirements of technical regulations, regulatory documents on standardization;

2) information on granting the applicant the right to mark certified products with a compliance mark;

3) information on whether the applicant has a valid quality management system, confirmed by a certificate (if provided for by the confirmation scheme);

4) information on the documents that serve as the basis for issuing the certificate, in accordance with the confirmation scheme;

5) the validation scheme used.

44. The application of the certificate shall contain a list of specific products to which it is valid, if it is required to detail the composition:

1) a group of homogeneous products manufactured by one manufacturer and certified for the same requirements;

2) a product (complex, set) of an installed set of components and (or) spare parts used for maintenance and repair of a product (complex, set) specified in the certificate.

45. The certificate validity period shall be established by the CAB taking into account the chosen confirmation scheme, product specifics, its production, the validity period of regulatory documents, requirements of regulatory documents for specific products, and the period for which the management system shall be certified (if this provided for the confirmation scheme), but not more than 3 (three) years or shelf life of products.

46. For products sold by the manufacturer during the period of validity of the certificate for mass-produced products (serial production), the certificate shall be valid upon delivery and sale of products during the shelf life (service) of products established by the normative document on standardization.

47. Within the shelf life of products, the validity of the certificate shall be extended by the CAB that issued the certificate. The validity of the certificate shall not exceed 3 (three) years from the date of issuance of the certificate. The CAB shall draw up an act for product identification for which the certificate is extended and shall establish its affiliation to previously certified products with the obligatory indication of the nomenclature and quantity (remainder) of the product.

48. Extension of the certificate validity period shall be performed upon the request of the applicant in one of the following ways:

1) to the left of the “Valid until ____” certificate box, an entry is made “Validity period extended to _____”, which shall be certified by the signature of the first manager or his/her authorized representative and the seal of the CAB;

2) a new certificate shall be issued with preservation of the registration number of the certificate being renewed, with an indication of the quantity (remainder) and name of the product.

49. If the validity period of a certificate issued for mass production products has expired, and products released during its validity period are at the implementation stage, then the certificate shall be extended for the entire shelf life of the product if the storage conditions are met, but not more than 3 (three) years, subject to inspection control by the CAB that issued the certificate.

50. When making changes in the design (composition) of the product or its production technology, which may affect the performance certified during certification, the certificate holder shall immediately notify the CAB that issued the certificate. The CAB shall analyze the information received and shall determine the degree of influence of changes on product conformity. According to the results of the CAB analysis, depending on the extent of the impact of changes on product conformity, it shall decide either to suspend the certificate and conduct an extraordinary inspection, or, if the changes do not affect the product's compliance, to prolongate the certificate.

51. The certificate holder shall not have the right to sell products, as amended, until the conformity of the products, as amended, shall be certified by the CAB.

52. If the requirements established in the regulatory documents for products that have passed the confirmation of compliance with these regulatory documents are changed, then the certificate shall be terminated from the date when the changes to these regulatory documents take effect.

53. In the accompanying technical, operational documentation attached to the certified products (technical passport, operation manual, etc.), as well as in the shipping documentation, information on the certification with indication of the certificate number and its validity period may be indicated.

54. A copy of the certificate of conformity shall be made pursuant to the forms of the established sample, in accordance with the normative document on standardization, certified by the signature of the first head or his/her authorized representative and the seal of the CAB.

55. The information on the number of issued copies of the certificate of conformity, together with the documents on the basis of which it has been issued, shall be stored in the CAB after its expiry date of at least 3 (three) years.

56. The issuance of a duplicate certificate of compliance shall be made by the CAB who issued this certificate when the applicant of the original certificate shall be lost (damaged). In this case, the applicant shall send an application in any form indicating the circumstances of the loss (damage).

57. A duplicate certificate shall be registered under the same number as the original , indicating the date of issue of the original and duplicate, while the “Duplicate” stamp shall be affixed in the upper right corner of the form.

Duplicate certificate may not be extended.

58. In case the lost certificate is found, the duplicate shall lose its effect and shall be returned to the CAB.

59. According to the results of the inspection control, the CAB shall suspend or revoke the certificate in case of non-compliance of certified products with the requirements of technical regulations in order.

60. In case of impossibility of carrying out inspection control, the CAB shall suspend or cancel the validity of the certificate.

61. The decision to suspend the certificate shall be taken if, by corrective actions agreed with the CAB that issued it, the applicant can eliminate the detected causes of nonconformity and confirm the conformity of products to the requirements of technical regulations, regulatory documents on standardization in the laboratory during repeated inspection without additional testing. .

62. In case the non-compliances are eliminated within the established time limits, the certificate shall be renewed.

The certificate may be suspended or canceled by mutual agreement between the CAB and the applicant in connection with the termination of the production of these products or for other reasonable reasons.

63. Information about the suspension or revocation of the certificate shall be communicated to the CAB, who issued it, in writing to the notice of the applicant, consumers, the authorized body and other interested parties.

64. Products for which the certificate has been canceled may be submitted by the applicant for re-certification after the elimination of violations identified during inspection control. In this case, certification work shall be carried out again without taking into account the results of previous certification of this product.

65. A copy of the certificate and all supporting documents for certification shall be stored in the CAB for at least 3 (three) years.

Section 6. Analysis of the state of production

66. Depending on the confirmation scheme, analysis of the state of production shall be carried out.

67. The analysis of the state of production shall be carried out in order to establish whether the manufacturer has the necessary conditions to ensure the continuous compliance of the products with the established requirements.

68. Work on the analysis of the state of production shall include:

1) request and receive source documents from the applicant;

- 2) drawing up and approval of the production inspection program;
- 3) coordination with the applicant of the terms and conditions of the inspection;
- 4) carrying out on-site inspection of production;
- 5) registration of test results;
- 6) adopting of a decision on inspection.

69. The verification program shall contain the tasks on various aspects of production that affect the safety of products within the requirements established by technical regulations and regulatory documents on standardization.

70. When analyzing the state of production the following shall be verified:

- 1) availability of regulatory and technical documents, their updating;
- 2) availability of qualified personnel;
- 3) compliance with the technological process and the state of its metrological support;
- 4) the presence of the system of input, acceptance control and periodic testing;
- 5) availability of a system for maintenance and repair of equipment and test facilities;
- 6) provision with raw materials and materials;
- 7) stability of the quality of certified products;
- 8) availability of storage conditions;
- 9) availability of accounting and analysis of complaints.

71. The results of the analysis of the state of production shall be documented in an arbitrary form, which summarizes the results of the analysis, notes the detected inconsistencies and draws conclusions about the ability of the applicant (manufacturer) to ensure the stability of production that meets the requirements of technical regulations and regulatory documents on standardization, and shall be sent to the applicant. The act may provide recommendations on the content of work in the control of certified products.

72. In case of negative results of the inspection, the work on certification of the declared products under the chosen confirmation scheme shall be terminated, and the CAB shall notify the applicant and the authorized agency in written form within 3 (three) calendar days and send the results of the production analysis.

After eliminating the identified deficiencies or choosing another confirmation scheme, the applicant shall submit a new application for certification.

73. If the applicant has a certificate of conformity for the quality management system for the production of certified products issued or recognized as part of the state system of technical regulation of the Republic of Kazakhstan, no analysis of the state of production shall be carried out.

74. Information (documents) on the conducted analysis of the state of production or certification of the management system shall be indicated in the Product Certificate.

Section 7. Product labeling with a conformity mark

75. Products for which a certificate is issued, shall be marked with a mark of compliance in accordance with Order of the Minister for Investment and Development of the Republic of Kazakhstan No. 724 dated October 15, 2016 "On Approval of Technical Regulations" Requirements for Product Marking" (registered in the Register of State Registration of Regulatory Legal Acts under No. 14471).

76. Product marking with the mark of compliance shall be carried out by the manufacturer (seller), on the basis of a certificate registered in the CAB.

Section 8. Inspection control

77. Inspection control shall be carried out by the CAB that issued the certificate.

78. Inspection control, shall contain the following types of work:

- 1) analysis of incoming information on certified products;
- 2) verification of compliance with the conditions necessary for the production of products of stable quality;
- 3) testing of products and analysis of their results;
- 4) registration of results of control and decision making.

Upon availability of a certificate for the quality management system of a specific product and positive results of its inspection control, the analysis of conditions for the production of products of stable quality shall not be carried out.

79. Inspection control over certified products shall be carried out (if provided by the confirmation scheme) during the entire validity period of the certificate, at least once a year, in the form of periodic and unscheduled inspections, including testing of product samples and / or surveys of production conditions.

80. Inspection control shall be carried out in order to ensure that the certified products being sold, continue to comply with the established requirements of technical regulations and regulatory documents on standardization. The frequency of inspection control shall be determined by the CAB that issued the certificate. Also, unscheduled inspections shall be carried out in cases of receipt of information about complaints about the quality of products from consumers, trade organizations, as well as agencies exercising state control over the facility for which the certificate shall be issued. According to the results of unscheduled inspections, the CAB shall send the information to the authorized agency.

81. Criteria for determining the frequency and volume of inspection control shall be the degree of potential danger of products, nature of production (serial, mass, repeated unit), production stability, production volume, availability of a certificate of quality management system, information on test results and product inspections and its production, conducted by the manufacturer, state control (supervision) agencies,

including information on similar products manufactured by the same manufacturer, as well as the results work preceding the issue of the certificate.

82. The scope and procedure for the inspection control shall be established by the CAB.

83. The results of the inspection control shall be drawn up by an act of arbitrary form, which assesses the results of testing samples and other inspections, conclude on the state of production of certified products and the possibility of maintaining the validity of the issued certificate.

84. The inspection control act shall be kept in the CAB for at least 3 (three) years. Copies of the act shall be sent to the applicant (manufacturer, seller) and to the organizations that participated in the inspection control.

Chapter 3. Acceptance of a conformity declaration by the manufacturer (performer)

Section 1. Submission and consideration of the application

85. The conformity declaration shall contain:

- 1) name and location of the applicant;
- 2) information about the facility targeted by conformity confirmation, allowing to identify this facility;
- 3) name of the technical regulation, for compliance with the requirements of which the product shall be confirmed;
- 4) the applicant's statement on safety of the product when it is used in accordance with the intended purpose and the applicant takes measures to ensure product compliance with the requirements established by technical regulations;
- 5) information on the conducted research (tests) and measurements, the certificate of the quality management system, as well as the documents that served as the basis for confirmation of product compliance to the requirements established by technical regulations;
- 6) term of the declaration of compliance;
- 7) other information stipulated by the relevant technical regulations.

86. The following shall be attached for the registration of a declaration:

- 1) Application for registration in accordance with the regulatory document on standardization;
- 2) copies of documents confirming the compliance of products with the requirements listed in paragraph 100 of these Rules;
- 3) copies of documents confirming the stability of production (copies of acts of state control on compliance with the requirements of technical regulations and regulatory documents on standardization, copies of acts of internal control of production stability);

4) copies of documents confirming the technical competence of the testing laboratories of the manufacturer (performer) (accreditation certificates or other equivalent documents) or copies of contracts with accredited laboratories for carrying out tests stipulated by the manufacturing process of production and technical regulations, regulatory documents on standardization for this product.

87. In time, no more than 3 (three) working days, The CAB shall consider and check:

1) the presence of this type of product in the list of products, the compliance of which shall be confirmed by the declaration;

2) the eligibility of the manufacturer (executor) to accept the declaration in accordance with paragraph 98 of these Rules;

3) completeness and correctness of indication of technical regulations, normative documents on standardization, provided for confirmation of compliance of these products;

4) availability of all documents stipulated for this product by the legislation of the Republic of Kazakhstan on the right of its manufacture;

5) the accuracy of filling out the declaration.

88. The conformity declaration shall be adopted for a period established by the manufacturer (executor) of products, based on the planned date of release of these products, but not more than one year.

Section 2. Registration and execution of a conformity declaration

89. A declaration with the necessary documents shall be sent for registration by the manufacturer (performer) only to 1 (one) CAB chosen by it.

90. The declaration of products compliance shall be subject to registration with the CAB, , the scope of accreditation of which includes this type of product.

91. The declaration shall be drawn up pursuant to forms and signed by the head of the organization - manufacturer (performer).

92. Within 3 (three) years from the date of expiration of the declaration of compliance, the first copy of the declaration of compliance and the materials used as evidence to confirm compliance shall be kept by the applicant, and the second copy of the declaration of compliance shall be stored in the CAB that registered it.

93. The register shall contain the name of the applicant who accepted the declaration, its address, registration number of the declaration and the type of product whose compliance shall be confirmed, the period of validity of the declaration.

94. The register of registered declarations shall be maintained by the CAB separately from the register of issued certificates.

95. The declaration shall include the registration information (name and address of the CAB that registered the declaration, the date of its registration, registration number

of the declaration) and shall be certified by the signature of the first head or person authorized by him/her and the seal of the CAB.

96. Copies and the Annex of the Declaration shall contain a list of products to which it is valid.

Copies of the declaration shall be certified by the signature of the head of the applicant and the seal (if available).

97. When changing the requirements of technical regulations and regulatory documents on standardization specified in the declaration, as well as the reorganization of the legal entity, the manufacturer (performer) shall prepare a new declaration in accordance with these Rules.

Section 3. Grounds for adoption by the manufacturer (performer) of a declaration

98. Declaration of compliance shall be carried out by:

- 1) the adoption of a declaration of compliance on the basis of their own evidence;
- 2) the adoption of a declaration of compliance on the basis of evidence obtained with the participation of the CAB.

99. The list of materials that can be used as evidence to confirm the compliance shall be determined by the relevant technical regulations.

100. The following shall be used as documents that are the basis for adoption by the manufacturer (performer) of the declaration:

1) technical documentation, the results of own research (testing) and measurements and (or) other documents that served as the basis for confirming the compliance of products with the requirements established by technical regulations.

2) when declaring compliance on the basis of their own evidence and evidence obtained with the participation of the CAB, in addition to his/her own evidence, the applicant of his/her choice shall have the right to use research (test) and measurement protocols conducted in the laboratory to submit a certificate of the quality management system.

3) the certificate of the quality management system may be used as part of the evidence when making the declaration of conformity of products, except for the case if such products are provided by other technical regulations for other forms of conformity assessment.

101. The declaration shall be adopted for a specific product or group of homogeneous products, for which uniform requirements established that shall subject to confirmation.

Chapter 4. Voluntary confirmation of compliance of products, services, processes

102. Voluntary confirmation of compliance of products, services, processes that are subject to the requirements established by technical regulations, shall be carried out on the initiative and requirements of the applicant.

Voluntary confirmation of compliance shall not replace the mandatory confirmation of compliance of products, if this is established by technical regulations.

103. Voluntary confirmation of compliance shall be carried out by CAB on a contractual basis.

Section 1. Certification of services, processes

104. Certification of services and processes shall be carried out for compliance with the requirements established by regulatory documents on standardization.

105. During certification, the characteristics (indicators) of services, processes shall be checked, and test (verification) methods shall be used, which allow to:

1) carry out the identification of services, processes including, check its membership in a classification group, compliance with technological documents (sample model, technological description and others) and functional purpose;

2) confirm the compliance of the certified services and processes with the requirements established in the normative documents on standardization.

106. The confirmation schemes used in certification shall be determined by the applicant in conjunction with the CAB, taking into account the specifics of the performance of services, the ability of the testing process, the required level of evidence, the applicant's possible costs while ensuring the safety of the consumer's property.

107. The confirmation scheme shall be specified in the document establishing the procedure for certifying services, processes and the certificate itself.

108. Certification of services, processes shall consist of the following steps:

1) application for certification in the CAB;

2) selection of the confirmation scheme;

3) decision on the application;

4) registration of the contract between the CAB and the applicant for the work on confirmation of compliance;

5) testing (checking) services, processes and (or) assessing the process of providing services, the processes of the contractor's skill, certification of the enterprise, certification of quality management systems;

6) analysis of the results obtained and the decision on the possibility of issuing a certificate;

7) registration in the register of issued certificates;

8) issuance of a certificate;

9) conducting inspection control over a certified service (in accordance with the confirmation scheme).

109. The applicant shall send the completed application to any CAB accredited to certify services, processes provided by the applicant.

110. When conducting tests (verification) the following shall be carried out:

1) selective verification of the results of services rendered, processes for compliance with the requirements of regulatory documents on standardization;

2) execution of conclusions on test reports (checks).

111. The testing laboratory shall send a test report to the CAB, number of copies of which shall be determined by the CAB.

112. With positive results of the confirmation of compliance and their examination, the CAB, , shall decide on issuing a certificate, issue a certificate in accordance with the normative standardization document and register it in the register of issued certificates and shall issue it to the applicant.

In case of a negative decision on the results of conformity assessment, the CAB shall draw up a decision on the refusal to issue a certificate, with a justification of the reasons and shall present it to the applicant.

113. If necessary, the service provider may use copies of the certificate, made on the letterhead of the established form, in accordance with the normative document on standardization.

114. The certificate validity period shall be established by the CAB, taking into account the scheme of confirmation for the service, as well as the period for which the certificate for the management system is issued, but for no more than 3 (three) years.

115. When making changes to the terms of service or technology of performance of services, processes that may affect their compliance with the requirements of regulatory documents on standardization, the applicant shall notify the CAB that issued the certificate, which decides whether new tests or inspections shall be necessary.

116. In case of negative results of certification tests (inspections), non-compliance with the requirements for the certified service, process or the applicant's refusal to pay for certification, the CAB shall issue an opinion to the applicant indicating the reasons for refusing to issue a certificate.

117. Inspection control over a certified service, the process shall be carried out by the security and fire alarm system that issued the certificate.

118. The inspection control over the certified service, process shall include:

1) the analysis of information about the certified service process;

2) the organization of commissions for the inspection control;

3) the inspection;

4) the registration of the test results and decision making.

119. The frequency and scope of inspection control for the conformity of services and processes to the requirements of regulatory documents on standardization established during certification, shall be determined by the CAB, depending on the state and stability of the quality of certified services, processes, but not less than once a year.

120. Unscheduled inspection control shall be carried out in cases of repeated receipt of information about complaints about the quality of services, processes from individuals and legal entities, requests from state bodies exercising state control.

121. According to the results of the inspection control of the CAB, an act shall be drawn up in 2 copies, which shall be signed by the participants of the inspection control and the representative of the certificate holder.

One copy of the act shall be sent to the certificate holder, the other - to the CAB.

122. According to the results of the inspection control, the CAB shall suspend or revoke the certificate, in case of non-compliance of the service provided, of the processes with the requirements of normative documents on standardization, as well as in the following cases:

1) changes in the regulatory document on standardization for the provision of services, process;

2) changes in the technological process of service provision, process;

3) changes in control methods, tests (inspections), quality assurance systems, if these changes may cause a mismatch of services, processes and service conditions to the requirements checked during certification;

4) in the event of termination of the activities of the enterprise for the provision of services, processes;

5) in case of refusal of the applicant to conduct inspection control.

123. The decision to suspend the certificate shall be taken if the detected causes of non-compliance are eliminated by corrective actions agreed with the CAB that issued it and confirmed without repeated certification tests to verify the conformity of services and processes with standardization documents.

Information on the suspension or revocation of the certificate shall be brought to the information by the CAB that issued the certificate to the notice of the service provider, the processes of the authorized agency in the field of technical regulation, consumers and other interested parties. The cancellation of the certificate shall be valid from the moment of its exclusion from the register of the state system of technical regulation.

124. If a non-compliance of services, processes or service conditions with the established requirements of regulatory documents on standardization is found, corrective actions shall be taken.

125. When conducting corrective actions the CAB shall:

- 1) suspend the certificate;
- 2) inform the performer of services, processes, authorized body, consumers and other interested parties.
- 3) establish the deadline for the implementation of corrective actions;
- 4) verify the performance and effectiveness of corrective actions;
- 5) notify consumers, the public, interested organizations about the danger (or undesirability) of using services, processes and the procedure for eliminating the violations found.

126. A copy of the certificate and all supporting documents for certification shall be stored in the CAB for at least 3 (three) years.

Section 2. Product certification

127. Voluntary certification of products shall include the procedures specified in Chapter 2, subject to paragraph 102 of these Rules.