

APPROVED
by the Decree No. 23
of the Ukrainian Derzhstandart
(the State Standard Committee)
of January 17, 1997

RULES
OF COMPULSORY CERTIFICATION FOR ROAD VEHICLES, THEIR COMPONENTS
AND TOOLS

1. FIELD OF APPLICATION

1.1. These Rules shall establish the procedure and requirements for conducting compulsory certification for road vehicles, their components and tools in the Ukrainian state system of produce certification - the System of certification UkrSEPRO (hereinafter referred to as the System).

1.2. Rules shall be compulsory for road vehicles certification bodies, accredited testing laboratories (centers) as well as enterprises, institutions, organizations and individuals, including foreign, that are agents of economic activity regardless ownership types.

2. TERMS AND DEFINITIONS

2.1. Meanings, terms and their definitions used in this document comply with DSTU 2462-94 "Certification. Main Meanings. Terms and Definitions", DSTU 3278-95 "The System of Produce Development and Putting into Operation. Main Terms and Definitions", DSTU 2984-95 "Road Vehicles. Types. Terms and Definitions", DSTU 3498-96 "Certification System for Ukrainian Certification of Products. Documents Forms. Types and Description".

2.2. "Road vehicle tools" are auxiliary tools designed to be installed on a road vehicle with the aim of improving its consumption peculiarities, but not designed for compulsory installment on all items of the same road vehicle model.

2.3. "Road vehicle type" is a grouped totality of road vehicle models (production variants) by class similar on purposes and action principle that do not differ from each other by design characteristics regulated by the requirements of the concrete normative document for each characteristic of a road vehicle.

3. GENERAL PROVISIONS

3.1. Produce certification bodies accredited in the System pursuant to the established procedure shall conduct road vehicles certification in the System.

3.2. Automobiles, buses, trolley-buses, motor-cycles, motor-scooters, trailers, half-trailers, their components and tools produced in Ukraine and imported to its territory shall be subjects to certification in the System.

The following types of road vehicles shall not be subject to certification according to these Rules:

- slow, design speed of which does not exceed twenty five (25) kilometers per hour;
- special, exclusively designed for military services or for use of which on general road purposes there are special rules;
- produced using spare parts;
- those that were in operation.

3.3. Compulsory certification of a road vehicle in the System shall be conducted on compliance with compulsory requirements of normative documents, effective in Ukraine, regarding safety of life, people health, protection of their property and environment protection.

3.4. Voluntary certification of road vehicles' produce in the System shall be conducted on compliance with requirements not related to compulsory by legislation acts and normative documents.

3.5. Road vehicles certification body shall establish the procedure of compulsory certification of concrete import road vehicles in the System pursuant to these Rules and the Procedure of produce import to the customs territory of Ukraine that is subject to compulsory certification approved by the Decree No. 107/121, dated May 10, 1994, of the State Standard of Ukraine and the Ukrainian Customs Committee (the state register No. 103/312 of May 19, 1994); and the Procedure of conducting activity on certification of foreign origin produce under schemes with examination, attestation and certification of quality systems, approved by the Decree No. 329, dated August 2, 1996, of the State Standard of Ukraine (the state register No. 458/1483 of August 16, 1996).

3.6. The procedure of road vehicle certification shall provide for the following:

- submission of the application for certification;
- review and making decision according to the application with mentioning the scheme;
- examination of the production or attestation of road vehicle production that is subject to certification; or analysis of certified quality system functioning if it is provided by the certification scheme;
- selection of road vehicles samples for tests;
- identification of road vehicles;
- acceptance of road vehicles samples by a testing laboratory (centers);
- check-up and tests of road vehicles samples;
- analysis of tests received results and making decision on possibility to issue the compliance certificate and conclusion of the agreement;
- registration and issue of the compliance certificate;
- recognition of compliance certificates that confirm compliance of import produce with effective Ukrainian normative documents and issued for this produce abroad;
- technical surveillance over certified produce in the course of its production;
- information on results of road vehicles certification activity.

4. RULES OF CERTIFICATION FOR ROAD VEHICLES, THEIR COMPONENTS AND TOOLS

4.1. Submission of the application for certification

4.1.1. An applicant shall submit the application to road vehicle certification body to conduct road vehicle certification in the System (Annex 1).

For foreign producer the application shall be submitted pursuant to the procedure established by the Decree No. 329, dated August 2, 1996, of the Ukrainian Derzhstandart.

4.1.2. The following documents shall be enclosed to the application:

- a producer's letter of guarantee regarding presence of production conditions for stable manufacturing of produce (Annex 2);
- technical description of a road vehicle with drawings of general scheme, with volume of requirements (Annex 3);
- a copy of technical conditions on road vehicle unit (if required);
- a copy of minutes for last periodical produce tests that is subject to certification;
- a certified copy of compliance certificates for some peculiarities (characteristics) received before in Ukrainian certification bodies or in bodies of other countries (to consider a possibility of their recognition);
- copies of minutes for certification tests conducted before in accredited testing laboratories (centers) of Ukraine or in laboratories of other countries (to consider a possibility of their recognition);

- other documents (at road vehicle certification body's request) required to determine certification scheme (drawings, technical description of components, design and technological or organizational and methodological documentation).

4.2. Consideration and making a decision according to the application with mentioning certification scheme

4.2.1. Road vehicle certification bodies shall consider the application. These bodies shall do as follows:

- register the application in the book of registration and set up a separate file for enterprise-producer's goods certification (including foreign) where further all road vehicle certification body correspondence and internal documents regarding any produce of such producer are kept;

- conduct expertise of correctness for filling in the application's requisites pursuant to the requirements of these Rules, Section 4;

- conduct expertise of submitted documents;

- determine the following: produce's certification scheme according to the submitted application; necessity of preliminary inspection or production's attestation or analysis of certified quality system functioning; testing laboratories (centers) accredited in the System which shall conduct tests of produce's samples according to the application; a number of samples for tests, rules of their selection; organizations that conduct technical surveillance;

- agree terms of conducting some types of works on certification and their cost;

- determine the list of required documents and their language which an applicant must submit to conduct certification;

- prepare and submit documents for signing by certification body Head according to approved forms for conclusion of the agreement with an applicant to carry out provided activity on certification;

- prepare and submit the draft decision according to the submitted application for signing by certification body Head (Annex 4);

- send or deliver the decision to an applicant according to the application;

- send a copy of the decision according to the application to testing laboratories (centers) that shall conduct tests and to the territorial center of standardization, metrology and certification in the place of an applicant's location.

4.2.2. Term of the application consideration and making a decision on it in each case can not exceed more than one (1) month from the date of its registration and payment according to the agreement. A copy of signed decision according to the application shall be attached to the file on certification

4.2.3. Road vehicle certification body, in agreement with an applicant, can establish other term of the application consideration if additional information regarding produce or its producer (to receive such information the following shall be required: deeper expertise of attendant documents for produce or additional documents; inspection of the production; minutes of produce's tests and other unexpected actions) is required.

4.2.4. If according to results of the application and attendant documents consideration it is occurs impossible to conduct certification of applied produce, road vehicle certification body shall provide an applicant with grounded decision on impossibility to conduct certification.

If an applicant within ten (10) days term after receiving decision does not inform on its intentions to conduct correcting measures, activity on conducting certification shall stop. An applicant can appeal road vehicle certification body's decision if an applicant does not agree with conclusions of road vehicle certification body.

4.3. Selection rules of produce's certification scheme

4.3.1. Produce's certification scheme shall be establish by road vehicle certification body. Schemes of road vehicle certification are provided in Annex 5.

4.4. Inspection of the production

4.4.1. Inspection of the production shall be conducted with the aim of the production's conditions check-up that ensure stable level of road vehicle peculiarities and characteristics, compliance

of design and technological documentation with requirements of normative documents, effective in Ukraine, conditions of the production equipment and presence of the control system over peculiarities of technological process and technical possibility of an enterprise to manufacture produce in compliance with normative documents as well as with the aim of providing recommendations regarding periodicity of conducting and forms of technical surveillance over the production of certified goods, methods and rules of selection of produce's samples for tests, etc.

4.4.2. Inspection of the production shall be conducted by the experts commission of road vehicle certification body. Head of road vehicle certification body shall approve members and the program of the experts commission.

4.4.3. Road vehicle certification body shall establish the procedure of activity fulfillment for preliminary inspection of the production. It shall provide for the following phases:

- expertise of normative, design and technological documentation submitted by an enterprise;
- check-up of the production;
- registration of the document of the production's preliminary inspection;

4.4.4. Expertise of normative, design and technological documentation should provide for the following:

- check-up of produce peculiarities and characteristics compliance established by technical documentation with requirements of standards and other normative documents covering produce and technological processes of its production; presence of the document that confirms putting produce into the production pursuant to GOST (*the former Soviet Union state standard*) 15.001 "The system of development and putting produce for the production. Produce for production and technical purposes";

- sufficiency's estimation of control operations and tests, provided by technological documentation, to establish complete compliance of manufactured produce with requirements of standards and other normative documentation covering this;

- estimation of the control system for technological process peculiarities, including control of raw materials;

- check-up whether there is the system of required metrology provision of measurement means and testing equipment.

If additional information for the production preliminary inspection is required, the commission can receive it from an enterprise.

4.4.5. According to the results of the production preliminary inspection the commission shall prepare a document in duplicate.

4.4.6. Not more than three times, road vehicle certification body shall have the right to use the scheme of certification that provides for the production preliminary inspection regarding the same produce manufacturer. And validity of the compliance certificate issued according to this scheme can not exceed one (1) year.

4.5. Attestation of the production

4.5.1. Attestation of the production shall be conducted with the aim of an enterprise-producer's technical possibilities estimation to provide stable quality produce that comply with requirements of normative documents.

4.5.2. Attestation of the production shall be conducted according to an applicant's initiative or according to the decision of road vehicle certification body and shall be conducted by road vehicle certification body. Road vehicle certification body shall establish the procedure of the production's attestation with taking into account peculiarities of the production for concrete produce and documents' requirements of the System.

4.5.3. The procedure of conducting activity on the production attestation should provide for the following:

- preliminary estimation;
- forming the program and methodology of the attestation;
- check-up of the production and its technical possibilities attestation;

- technical surveillance over the production under attestation.

4.5.4. Attestation results shall be prepared in the form of the production certificate presented to an applicant.

4.5.5. The compliance certificate issued according to the scheme that provides for the production attestation shall be valid for three (3) years.

4.6. Quality systems certification

4.6.1. Quality systems certification shall be conducted by bodies accredited in the System with the right to conduct such activity. Quality systems certification body shall establish the procedure of conducting certification with taking into account requirement of the System's documents.

4.6.2. Quality systems certification shall be conducted at an applicant's initiative or at road vehicle certification body decision if it is provided by the scheme of certification.

4.6.3. Quality systems certification regarding the production of the determined produce shall be conducted with the aim of being sure in compliance of the quality system with requirements of DSTU ISO 9001 - DSTU ISO 9003 and that the producer can permanently produce goods complying with requirements of normative documents.

4.6.4. The procedure of quality systems certification should provide for the following:

- preliminary estimation of the quality system;
- final check-up and estimation of the quality system;
- technical surveillance over certified quality system within term of the certificate's validity.

4.6.5. Results of quality system certification are prepared in the form of the quality system certificate presented to an applicant and its copy - to road vehicle certification body.

4.6.6. If there is the quality system certificate covering the production of goods applied for certification, an applicant shall enclose a copy of this certificate to the application.

4.6.7. After receiving the application and a copy of the certificate, road vehicle certification body shall send to quality systems certification body a request on documented confirmation of satisfactory functioning the quality system at the enterprise. After receiving the documents that confirm functioning the quality system according to requirements of normative documents, covering the system, and positive results of their analysis, road vehicle certification body shall establish the scheme of produce certification that provides for the quality system certification.

4.6.8. The compliance certificate issued according to the scheme that provides for quality system certification shall be valid within three (3) years.

4.7. Rules of samples' selection for tests

4.7.1. Selection of produce samples for tests shall be conducted by road vehicle certification body or at its written request - by the authorized representative independent from an applicant.

4.7.2. Produce samples shall be selected among those items that have passed through acceptance control of the producer and are ready for sale. A number of samples for tests shall comply with a number mentioned in the decision at request of road vehicle certification body.

Selection of samples shall be conducted in presence of an applicant's representative and shall be registered through the document of samples' selection in triplicate (Annex 6).

4.8. Produce identification

4.8.1. Produce identification shall be conducted by road vehicle certification body or at its request - by the testing laboratory (center). If the testing laboratory (center) is accredited only for technical competence, produce identification shall be conducted in presence of the authorized representative of road vehicle certification body. Identification shall be conducted in presence of an applicant.

4.8.2. Produce identification consists of sample design's collation presented for tests and its technical condition according to normative documents. Compliance of the article's serial numbers and its components, catalogue numbers of completing units, compliance of design, fullness of supply and completeness of running in (if provided) shall be collated.

If non-compliance is found, activity shall stop. An applicant shall be informed about that within forty eight (48) hours. At the same time this information shall be notified to road vehicle

certification body. If an applicant within ten (10) days after receiving notification does not inform on its intentions regarding conducting correcting measures, produce tests with the aim of certification shall stop.

4.8.3. Within ten (10) days from the date of submission of the proposal by an applicant, road vehicle certification body shall make a decision on the procedure to continue certification.

4.8.4. Document of identification in triplicate regardless results of identification shall be prepared according to its results (Annex 7).

4.8.5. Produce samples that have not passed the identification shall not be accepted for tests with the aim of certification.

4.9. Acceptance of produce samples by the testing laboratory (center)

4.9.1. Identified produce samples for tests shall be accepted by the responsible person of the testing laboratory (center) specially authorized by the order of the testing laboratory (center) Head only if these samples were presented to the laboratory sealed as well as if there are documents of samples selection and identification.

4.10. Tests of produce samples with the aim of certification

4.10.1. Tests of produce samples with the aim of certification shall be conducted exclusively by testing laboratories (centers) accredited in the System which determined by road vehicle certification body pursuant to the decision at the application. Independent acceptance of the decision by the testing laboratories (centers) on conducting tests of produce samples with the aim of certification shall not be allowed.

4.10.2. Produce samples shall be tested on compliance with compulsory requirements of effective Ukrainian normative documents mentioned in the decision.

4.10.3. According to tests results the laboratory (center) shall submit produce tests minutes to road vehicle certification body and copies - to an applicant. Tests minutes should be signed by activity executors and approved by the Head of accredited testing laboratory (center). If tests have been conducted in the testing laboratory (center) accredited in the System only for technical competence, tests minutes shall be signed by road vehicle certification body representative under whose surveillance (at permit of the body) these tests have been conducted.

4.10.4. In any case tests minutes should include the following:

- reference to notes and name of normative documents regarding tests methods;
- line "Norm Pursuant to Normative Document for Produce" where the concrete norm established by normative documents shall be filled in;
- line "Actually received tests results" where number results of tests (taking dimensions) shall be filled in, i.e. it shall not be allowed to make a note like "comply" or "not found" for peculiarities for which dimensions should be taken.

4.10.5. In case of receiving negative results for any of these peculiarities, tests with the aim of certification shall stop and information on this shall be submitted to an applicant and road vehicle certification body.

4.10.6. Repeated tests can be conducted only after submission of a new application and persuasive evidence of an applicant in his conducting correcting measures to remove reasons that have led to non-compliance.

4.11. Analysis of received results and acceptance of the decision on the possibility to issue the compliance certificate and its registration

4.11.1. Tests minutes provided by the testing laboratory (center) shall be considered by road vehicle certification body with the aim of determination of compliance:

- of nomenclature of checked peculiarities with nomenclature of peculiarities mentioned in the decision according to the application;
- with requirements established by paragraphs 4.10.3. and 4.10.4. of these Rules;
- of used methods and means for tests with requirements of normative document for tests methods.

Road vehicle certification body shall make a decision on the compliance certificate issue according to positive results of the protocol consideration and other activity provided by the decision due to the application.

4.11.2. All requisites, without exceptions, provided by forms of certificates shall be filled in. In cases if measures mentioned in requisites have not been conducted, the following note shall be made: "is not conducted", "is not marked", "is not drawn".

4.11.3. If certification scheme mentioned in the decision according to the application provides for preliminary inspection or attestation of the production or quality system estimation, road vehicle certification body due to positive results of this activity shall make the decision on validity term of the compliance certificate that is prepared for signing. In this case validity term of the certificate should not exceed validity of the production certificate or the quality system certificate.

4.12. Issue of the compliance certificate approved by DSTU 3498-96 and entering certified produce in the System's Register.

4.12.1. Road vehicle certification body shall issue the compliance certificate for a single item of produce with mentioning its quantity or for produce manufactured by the enterprise serially within the term established by the agreement with the right to make compliance mark of each manufactured produce item.

4.12.2. An applicant shall receive the compliance certificate with enclosed "General characteristics of road vehicle" (Annex 8).

4.12.3. Road vehicle certification body shall establish the term of the certificate validity for produce manufactured by the enterprise serially, with taking into account validity term of normative documents for produce, results of the production preliminary inspection and the term of the quality system certificate or the production certificate, but not more than for three (3) years.

4.12.4. Road vehicle certification body shall register its issued certificates and shall send their copies to the Ukrainian Derzhstandard.

4.12.5. In case of making changes in produce composition or in the technology of its manufacturing that can influence on peculiarities confirmed in the course of certification, an applicant shall be liable to inform about this road vehicle certification body which makes the decision on the necessity to conduct new tests or estimation of produce manufacturing conditions.

4.13. Technical surveillance over certified road vehicles in the course of their production

4.13.1. In case when the compliance certificate issued to an applicant for certain term and pursuant to the agreement it has the right to apply this certificate to manufactured produce independently, road vehicle certification body or, upon its permit, other organization shall conduct technical surveillance over certified produce in the course of its manufacturing.

4.13.2. The following types of technical surveillance shall be applied depending on the certification scheme:

- conducting periodical control tests of produce selected from an applicant, supplying and trade organizations;
- conducting periodical control tests of produce selected from an applicant, supplying and trade organizations as well as periodical technical surveillance over attested production of certified produce;
- conducting periodical control tests of produce selected from an applicant, supplying and trade organizations as well as periodical estimation of efficiency in functioning the certified quality system of an applicant;
- conducting periodical control over technological process of certified produce manufacturing.

4.13.3. Road vehicle certification body shall establish periodicity of control tests, their volume and the procedure of conducting, periodicity of the production condition estimation and efficiency of the quality system functioning in each concrete case and shall regulate them in the program of technical surveillance which is developed by road vehicle certification body and is approved by its Head.

4.13.4. According to results of technical surveillance, an executor shall prepare and submit to road vehicle certification body a report where possible reasons of non-compliance with established requirements (if applicable) are mentioned and correcting measures are proposed. One copy of the report shall be sent to an applicant.

4.13.5. Road vehicle certification body can make a decision on conducting additional tests and (or) checks-up depending on information about condition of certified produce coming from consumers and control bodies.

4.13.6. Road vehicle certification body can make a decision on termination or elimination of the compliance certificate in the following cases:

- discovery of produce non-compliance with requirements established in the course of certification;
- violations of the production technological requirements, acceptance rules, methods of control, tests and produce marking, etc.;
- making changes without preliminary agreement with road vehicle certification body by an applicant in normative documents, tests methods, produce composition, etc. that can influence on the certified produce compliance with established requirements.
- violations of the agreement's terms by an applicant.

4.13.7. Within three (3) days road vehicle certification body shall send written information on made decision regarding termination or elimination of issued certificate validity to the Ukrainian Derzhstandard, its territorial body and an applicant.

4.13.8. Road vehicle certification body decision on termination of the compliance certificate validity can be canceled in case if through conducting correcting measures an applicant shall be able to remove non-compliance and reasons of their rising within one (1) month and confirm produce compliance with established requirements.

4.13.9. Correcting measures shall be conducted by an applicant of produce immediately after receiving road vehicle certification body decision on termination of the compliance certificate validity. Road vehicle certification body issued the certificate shall conduct control over fulfillment of correcting measures.

An applicant of certified produce shall pay all expenses for conducting correcting measures and related to organization of control over their fulfillment.

4.13.10. Correcting measures shall be considered successfully fulfilled if after their completion produce complies with requirements of normative documents.

4.13.11. Produce for which validity of the compliance certificate was terminated can be applied by an applicant for repeated certification after an applicant's fulfillment of correcting measures aimed at removal of violations found in the course of technical surveillance. In such a case activity on certification shall be conducted without taking into account results of previous certification of this produce.

4.14. The procedure of certification for road vehicles of foreign production

4.14.1. Certification of imported road vehicles shall be conducted pursuant to the above-mentioned requirements of these Rules, Section 4 and requirements of the Procedure to conduct activity on certification of foreign manufactured produce according to schemes for inspection, attestation and certification of quality systems, approved by the Decree No. 329, dated August 2, 1996 of the Ukrainian Derzhstandard (state register No. 458/1483 of August 16, 1996).

4.15. Recognition of certificates or other documents that confirm compliance of import produce with normative documents effective in Ukraine and issued for this produce abroad

4.15.1. Certificates and minutes of produce tests issued by authorized bodies of foreign countries (hereinafter referred to as foreign certificate) shall to be recognized in the System if totality of the following rules is observed:

- if the Ukrainian Derzhstandard has concluded bilateral agreement on mutual recognition of certification activity results with national certification body of that country where imported produce originates;

- foreign certificate has been issued in the state certification system of that country where original produce is imported to Ukraine;
- produce imported to Ukraine can be identified according to attendant documents (marking, labels) as such that produced pursuant to interstate or other normative documents effective in Ukraine;
- nomenclature of all compulsory requirements for produce and norms of these requirements mentioned in foreign certificate completely comply with nomenclature of compulsory requirements and norms effective in Ukraine.

4.15.2. Road vehicle certification body shall issue the recognition certificate pursuant to DSTU 3498-96 if totality of rules mentioned in the paragraph 4.15.1 of these Rules are fulfilled. Recognition certificate shall be registered in the System's Register.

4.15.3. If at least one rule of the paragraph 4.15.1. is not fulfilled, recognition of foreign certificates shall be conducted according to requirements of these Rules on the basis of the decision for recognition of road vehicle certification body.

4.15.4. A document on foreign certificates recognition shall be the recognition certificate (in case of complete recognition) or the compliance certificate (in case of partial recognition) issued in the System.

Certification results can be recognized as follows:

- without additional certification procedures;
- with implementation of additional certification procedures;
- in case of positive results of produce certification in the System.

4.15.5. The procedure of road vehicle certification results recognition shall provide for the following:

- consideration of the application and analysis of the submitted documents;
- making a decision on the possibility to issue the recognition certificate or the compliance certificate;
- processing and registration of the recognition certificate or the compliance certificate;
- technical surveillance over road vehicle.

4.15.6. An applicant should submit the following documents to road vehicle certification body:

- the application on recognition;
- certificates or other documents that confirm road vehicle compliance with concrete requirements;
- normative documents for a road vehicle (if required);
- tests minutes;
- the quality system certificate, the production certificate (if applicable);

4.15.7. Road vehicle certification body shall consider documents, conduct their analysis and expertise.

4.15.8. Road vehicle certification body that considers documents shall have the right to receive additional information.

4.15.9. Road vehicle certification body can make a decision on complete or partial recognition of road vehicle certification results.

4.15.10. Road vehicle certification body shall prepare and register the recognition certificate or compliance certificate.

4.15.11. In case of considerable divergence between normative documents with regard to road vehicle peculiarities (characteristics), road vehicle certification body shall make a decision on conducting road vehicle certification pursuant to requirements of the System.

4.15.12. An applicant shall submit samples for certification.

4.15.13. Recognition of certificates, tests minutes and other documents of importing countries shall be considered valid for the term established by road vehicle certification body.

4.15.14. Technical surveillance over imported road vehicle shall be conducted pursuant to road vehicle certification body decision.

4.16. Components certification

4.16.1. Components certification shall be conducted pursuant to requirements of these Rules, paragraph 3.6.

4.16.2. Certification of spare parts supplied (produced) directly by road vehicle producer.

An applicant shall submit the application for spare parts of the concrete road vehicle. The following shall be enclosed:

- a copy of road vehicle compliance certificate issued in the System;
- a certificate of spare parts origin;
- a letter-declaration of the producer on presence of required production conditions or the quality system certificate.

On the basis of positive conclusions of documents, road vehicle certification body shall make a decision on the compliance certificate issue.

4.16.3. Certification of identical (produced with the same technology and differ only in sizes) spare parts according to the catalogue.

While certifying identical spare parts, tests results for produce of the same name shall be applied to the whole group of such items. On the basis of positive protocol of certification tests, the compliance certificate shall be issued for the whole group of items.

Such certificate can also be issued for the group of identical items according to the catalogue. In this case the name of the catalogue shall be mentioned.

4.16.4. Certification of foreign spare parts produced by factories that are not road vehicles producers shall be conduct on general grounds if there is a normative document for this produce issued or agreed with the factory that produces road vehicles.

4.16.5. Certification of spare parts group imported to Ukraine.

The following documents shall be enclosed to the application:

- tests certificates and (or) minutes received from certification bodies;
- minutes of tests conducted at the enterprise (not older than one (1) year);
- normative document (or documents) for a concrete item (a group of identical items);
- technical description or other document that allows to conduct produce identification;
- a copy of the contract;
- a certificate of spare parts origin.

In this case the compliance certificate shall be issued for a group of produce.

4.16.6. Certification of components supplied directly to the factory that produces road vehicles.

If the factory-producer of road vehicles has the compliance certificate for a road vehicle , producer of road vehicles or components, or supplier shall submit the application for components certification with the following enclosed documents:

- a copy of the compliance certificate for a road vehicle;
- information on use of components by the factory-producer of road vehicles which received a certificate for this road vehicle in the certification System of UkrSEPRO.

In this case according to positive results of expertise, the recognition certificate or the compliance certificate shall be issued.

Certification of components produced without agreement with the factory-producer of road vehicles shall be conducted on common grounds.

5. CONFIDENTIALITY

5.1. Road vehicle certification body and organizations acting at its permit should provide confidentiality of information considered as commercial or professional secrets.

6. DISPUTES CONSIDERATION

6.1. If an applicant wish to appeal the decision on refusal to issue the compliance certificate for it, elimination or termination of the certificate validity, it should submit written application to

road vehicle certification body not later than one (1) month since the moment of notification receipt regarding the decision made. Submission of the application shall not terminate validity of the decision made.

6.2. Road vehicle certification body shall consider the application within one (1) month since the moment of its receipt.

6.3. The following documents shall be enclosed to the application:

- correspondence between an applicant, the testing laboratory, territorial body of the Ukrainian Derzhstandard and road vehicle certification body regarding the dispute;
- appropriate materials of tests, check-up and surveillance;
- submitted sample of produce (if there is such a sample);
- technical documentation for produce (if required).

6.4. Each party shall have the right to invite an expert from the testing laboratory to provide explanations.

6.5. A decision on submitted application can include one of the following recommendations:

- to issue or recognize the compliance certificate;
- to refuse in issue or in recognition of the compliance certificate validity;
- to renew the compliance certificate validity.

6.6. The decision shall be send to an applicant within five (5) days from the date of the meeting. If certification body that considered the dispute has an opinion that it is necessary to apply measures on standards and other normative documents for produce used in the course of certification, then certification body shall submit appropriate proposals to the Ukrainian Derzhstandard.

6.7. In case of disagreement with road vehicle certification body decision, an applicant shall have the right to appeal to the Ukrainian Derzhstandard within ten (10) days from the moment of the decision receipt; to the court and the court of arbitration pursuant to legislation.

7. PAYMENTS BETWEEN CERTIFICATION BODY AND AN APPLICANT

7.1. The main principles of the payment system are as follows:

- payment for activity on certification shall be conducted regardless its results;
- cost of activity shall be adjusted depending the level of inflation;
- applicants' costs to conduct activity on certification shall be included to self-cost (Decree No. 46-93, dated May 10, 1993, of the Cabinet of Minister of Ukraine "On Standardization and Certification").

7.2. The procedure of payments in the course of produce certification

7.2.1. While certifying the produce mutual financial relations shall be established between:

- road vehicle certification body;
- testing laboratories (centers);
- an applicant.

7.2.2. The following kind of activity related to produce certification have to be paid:

- preparatory;
- expert;
- on attestation, tests, control and registration.

7.2.3. Payment of activity on produce certification shall be conducted on the basis of agreements concluded according to road vehicle certification body decision pursuant to any of the variants below:

- an applicant shall conclude the agreement with road vehicle certification body on conducting all kinds of activity. From funds received under the agreement road vehicle certification body shall pay testing laboratories (centers) for conducting appropriate activity;
 - according to road vehicle certification body decision due to the application on conducting produce certification, an applicant shall conclude separate agreements with road vehicle certification body and testing laboratories (centers) or other organizations, mentioned in the

decision due to the application, to carry out certification activity.

Annex No. 1
to Rules of compulsory certification for road vehicles,
their components and tools

To: the Head of certification body

(Name of the organization,

surname, initial letters and address)

APPLICATION
to conduct produce certification
in the certification System UkrSEPRO

1. _____
(name of the enterprise-producer or supplier (hereinafter referred to as an applicant),

(address, EDRPOU*)

represented by _____
(surname, name and patronymic, position)

hereby declares that _____
(produce name, OKP code and CNFEA code)

manufactured _____
(in a mass, serially, in group (quantity, from No. to No.) or as one)

according to _____
(name of the normative document)

complies with _____
(name of the normative document)

and asks to conduct certification of this produce in the certification System of UkrSEPRO on compliance with requirements of normative documents.

2. Please conduct tests with the aim of certification in _____
(name of accredited

testing laboratory (center), address. This line shall be omitted if data are not available)

3. An applicant shall be liable as follows:

- to fulfill all conditions of certification;
- to ensure stability of produce peculiarities (characteristics) confirmed by the compliance certificate;
- to pay all costs to conduct certification.

4. Additional information _____

Head of the enterprise _____
signature

name, initial letters

Chief Accountant _____
signature

name, initial letters

Date: _____

Seal

*-State Register of enterprises and organizations in Ukraine

Annex No.2
to the Rules of Compulsory Certification of the
Road Vehicles (RV), their components and tools
To: The Head of the RV certification body

(name, title, initials

address)

PRODUCER'S WARRANTY

Hereby it is certified that at the enterprise exist production conditions for stable manufacturing of goods which meet the requirements of normative documents (ND), being controlled by certification testing_____

(name of RV, there components and tools)

in compliance with the normative documents_____

(list of the normative documents,

applicable to the goods presented for certification)

Detailed description of the production conditions to meet the specifications in accordance with the normative documents is appended.

An applicant agrees to afford a body of certification with an opportunity to conduct the inspection of the conditions of production of RV and parts thereof which are subject to certification.

Head of the enterprise _____
(signature)

(name, initials)

Chief accountant _____
(signature)

(name, initials)

Seal

Annex No.3
to the Rules of Compulsory Certification of the
Road Vehicles (RV), their components and tools

**TECHNICAL DISCRIPTION OF RV WITH DRAWINGS OF GENERAL APPEARANCE
AND THE SCOPE OF REQUIREMENTS**

Part 1

The information set out below shall be submitted, if necessary, in two copies and shall include the contents thereof. All drawings shall be performed in the appropriate scale and in details in format A4 or shall be converted into this format.

Photographs, if any, shall accurately depict parts of the goods.
If systems, components or separate technical units are electronically operated, the information as to such operation shall be also submitted.

0. GENERAL

- 0.1. Trade mark (brand name of producer):
- 0.2. Type and general commercial description:
- 0.3. Means of identification of the type, if they are indicated on the vehicle
(a):.....
- 0.3.1. Location of such indications:
- 0.4. Category of the road vehicle (b):
- 0.5. Producer's name and address:
- 0.6. Address(es) of assembling works:.....

1. GENERAL CONSTRUCTION CHARACTERISTICS OF THE ROAD VEHICLE

- 1.1. Photographs and/or drawings of the road vehicle (only for different types of the body of a vehicle):
- 1.2. Number of axles and wheels:
- 1.2.1. Number and location of the controllable axles:.....
- 1.2.2. Drive axles (number, location, interrelation):.....
- 1.3. Chassis (if any) (general drawing):.....
- 1.4. Location of the engine:.....
- 1.5. Location of the steering wheel (left or right):.....

2. MASS AND SIZES

- 2.1. Wheels' basis(es) (in case of full load) (c).....
- 2.2. Track of axles
 - 2.2.1. Track of each controlled axle (d).....
 - 2.2.2. Track of each other axle (d).....
- 2.3. Range of overall size of the road vehicle
 - 2.3.1. Length (e).....
 - 2.3.2. Width (f)

- 2.3.3.Height (in empty state) (g) (for suspensions of varying height, indicate the normal position when moving)
- 2.4. Mass of the road vehicle with a body in working condition or chassis' mass with a cabin in case if a producer does not mount the body (including cooling liquid, oils, fuel, instruments, spare wheel and a driver) (h) (maximum and minimum value for each version)
.....
- 2.4.1. Distribution of this mass between axles and in case of the semitrailer or a single-hanging load trailer on the coupled unit (maximum and minimum value of each version).....
- 2.5. Technically admissible mass of the loaded road vehicle as indicated by producer (maximum and minimum value of each version) (m).....
- 2.5.1. Distribution of this mass between axles and in case of the semitrailer or a single-hanging load trailer on the coupled unit (maximum and minimum value of each version).....
- 2.6. Maximum technically admissible load on each axle:.....
- 2.7. Maximum mass of the towed trailer.....
- 2.7.1. Full trailer.....
- 2.7.2. Semitrailer
- 2.7.3. Single hanging trailer
- 2.7.4. Maximum mass of combination
- 2.7.5. Road vehicle adjusted/not adjusted (1) for towing of trailers
- 2.7.6. Maximum mass of the trailer without brakes
- 2.8. Maximum vertical load
- 2.8.1. On the coupled unit of the towing road vehicle

3. POWER FACILITY (i)

- 3.1. Producer
- 3.1.1. Code of engine set by producer (as indicated on the engine, or other means of identification).....
- 3.2. Internal combustion engine
- 3.2.1.1. Working principle: forced ignition/ignition from compression, four-cycle/two-cycle (1)
- 3.2.1.2. Number and location of cylinders
- 3.2.1.3. Working volume (j)cub. sm
- 3.2.1.4. Maximum capacity (net):kV with 1/min
- 3.2.2. Fuel: diesel/petroleum/compressed oil gas/other (1)
- 3.2.3. Feed system
- 3.2.3.1. With the help of the carburetor:(1)
- 3.2.3.2. With the help of fuel injection (for engines with ignition from compression only):(1)
- 3.2.3.3. With the help of fuel injection (for engines with forced ignition only):(1)
- 3.2.4. Cooling system (liquid/air) (1)
- 3.2.4.1. Rated setting of the device controlling temperature of engine:
- 3.2.5. Intake system
- 3.2.5.1. Turbocompressor:.....(1)
- 3.2.6. Measures to be taken to prevent air pollution
- 3.2.6.1. Additional devices to prevent atmosphere pollution (if any and if they are not described in other item):
- 3.2.6.1.1. Catalytic neutralizer:.....(1)
- 3.2.6.1.2. Oxygen gage:.....(1)
- 3.2.6.1.3. Re-circulation of discharged gases:(1)
- 3.2.6.1.4. System of control over contaminants' evaporation:(1)

- 3.2.6.1.5. Trap for solid particles:.....(1)
- 3.2.6.1.6. Other systems (description, operation principles):
- 3.2.7. Location of the absorption coefficient symbol (for engines with ignition from compression only):.....
- 3.3. Electric motor
 - 3.3.1. Type.....
 - 3.3.1.1. Maximum hourly capacity:.....kW
 - 3.3.1.2. Operating voltage:.....V
 - 3.3.2. Accumulator
 - 3.3.2.1. Location:.....

4. TRANSMISSION (k)

- 4.1. Type (mechanical, hydraulic, electrical etc.).....
- 4.2. Coupling (type):.....
- 4.3. Gear box:
 - 4.3.1. Type (hand/automatic/non-stepped(1)):.....
- 4.4. Gear box ratio

Gear	Internal gear ratio (speed of engine shaft rotation to the speed of rotation of the drive shaft of gear box ratio)	Gear ratio of the final transmission (speed of rotation of output shaft of gear box to speed of rotation of drive wheel ratio)	Total gear ratio

Maximum gear ratio for non-stepped transmission (1)

1
2
3
...

Minimal gear ratio for non-stepped transmission

Reverse movement

4.5. Maximum speed of the road vehicle and gear in which it is reached (km/hour) (1):...

5. WHEEL SUSPENSION

- 5.1. Type and design of suspension of each axle or wheel:...
 - 5.1.1. Height regulation:.....(1)
- 5.2. Stabilizers:....(1)
- 5.3. Shock-absorbers:.....(1)
- 5.4. Tyres and wheels
 - 5.4.1. Combination of tyre/wheel (for tyres indicate size, maximum supporting capacity, symbol of category by maximum speed); for wheels indicate size(s) of a rim and the range)
 - 5.4.1.1. Axle 1:.....
 - 5.4.1.2. Axle 2:..... etc.
 - 5.4.2. Upper and lower rolling radius margin:
 - 5.4.2.1. Axle 1:.....

5.4.2.2. Axle 2:..... etc.

6. STEERING

6.1. Mechanism and operating control

6.1.1. Type of mechanism:.....

6.1.2. Wheels' feedback:.....

6.1.3. Method of amplification (if any):.....

7. BRAKES

7.1. Brief description of brakes according to GOST 22895-77

8. BODY

8.1. Type of a body:.....

8.2. Doors, locks and hinges

8.2.1. Design and number of doors:.....

8.3. Internal equipment

8.3.1. Seats:.....

8.3.1.1. Number:.....

8.3.1.2. Location:.....

8.3.2. Type of head rests (if any), indicate a number of approval):.....

8.3.3. Obligatory plates

8.4.1. Photographs and/or a drawing of location of obligatory plates and inscriptions, and numbers of chassis.....

9. CONNECTION BETWEEN THE VEHICLE AND TRAILERS OR SEMITRAILERS DURING TOWING

9.1. Class and type(s) of coupled units:.....

(a) If a means of identification contains the symbols that do not require for identification of the road vehicle a component or a separate technical unit which is covered by this Reference document, such symbols should be given in the documents under the mark “?” (for instance, ABC??123??):

(b) Classification of correspondence of definitions set out in item 2.1. GOST 22895-77.

(c) Standard ISO 612-1978, definition No.6.4.

(d) Standard ISO 612-1978, definition No.6.5.

(e) Standard ISO 612-1978, definition No.6.1.

(f) Standard ISO 612-1978, definition No.6.2.

(g) Standard ISO 612-1978, definition No.6.3.

(h) Mass of a driver is considered equal to 75 kg, the fuel tank is deemed as filled up 90% of its volume as defined by the producer.

(i) In cases of non-traditional engines and systems equivalent data should be specified by the producer.

(j) This value shall be calculated on the basis of $P = 3,1416$ and rounded off to the nearest figure cub. sm.

(k) Parameters shall be indicated for all variants proposed.

(l) 5% deviation is acceptable.

(m) For trailers or semitrailers and vehicles that are coupled with a trailer or semitrailer which have a significant vertical load on the coupled unit, this load divided by standard acceleration of free falling shall be included in the technically admissible maximum mass.

Part II

Availability of certificates on specific characteristics of RV

Object	Certificate No.	State which issued a certificate (1)	Certificate validity term	Variant(s) Version(s)

Signature:.....

Position:.....

Date:.....

(1) It should be indicated if this information cannot be found in the certificate number.

Annex 4
to the Rules of Compulsory Certification of Road Vehicles,
Their Components and Tools

Name and address of a body on
product certification

DECISION No
dated “_____” _____ 199_____
on application for product certification

Having considered _____
(name of producer or supplier of goods)

_____ dated _____

(date)

for certification _____
(name of goods, code OKP, code CN FEA)

notify hereby:

1. Certification will be conducted to verify conformity of goods with the
requirements _____
(indication and titles of normative documents)

2. Certification scheme will include: (cross out what is not necessary)

- preliminary examination of an enterprise;
- attestation of manufacturing (process) of goods to be certified;
- certification of the production quality system;
- analysis of efficiency of the certified production quality system functioning;
- sampling of products for testing;
- testing of the samples;
- technical control over manufacturing of certified goods.

3. Preliminary examination of enterprise* will be conducted from _____ to _____

(name and address of organization that will conduct examination)

4. Attestation of production* to be certified will be conducted from _____ to _____

(name and address of organization that will conduct attestation)

5. Certification of the system of quality of goods* to be certified will be conducted from _____
to _____
(name and address of organization that will conduct certification of the quality system)

6. Analysis of efficiency of the certified production quality system functioning will be
conducted within the period from _____ to _____
(name and address of organization that will conduct the analysis)

7. Sampling of products for testing* will be conducted from _____ to _____

(name and address of organization that will select samples for testing)

* Item is included if necessary

8. Testing of products with a view of certification will be conducted from _____
to _____
(name and address of an accredited testing laboratory (center))

9. Technical control* over production of the certified goods will be conducted
by _____
(name and address of organization)

Periodicity of conducting and the form of technical control will be notified additionally.

10. To carry out works on certification the following normative documents and technical documentation* shall be submitted to the product certification body:

(indication and titles of normative documents)

11. Works shall be executed on the basis of commercial contract.

Head of the product certification body _____
Seal (signature) (name, initials)

* Item is included if necessary

Annex No. 5
to the Rules of Compulsory Certification
of Road Vehicles, Their Components and Tools

SCHEME OF CERTIFICATION OF ROAD VEHICLES

No. of certificat ion scheme	Type of production, characteristi c of supply	Volume of certification for	Works with regard to products					Documents to be issued by the body on certification of RV
			Inspection of production	Attestation of production	Certification of the production quality system	Testing and requirements with the purpose of certification	Technical control	
1	2	3	4	5	6	7	8	9
1.	Lot of goods	Certificate of correspondence	Not conducted	Not conducted	Not conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Not conducted	Certificate of correspondence for a lot indicating characteristics thereof
2.	Lot of goods	Certificate of correspondence on specific features	Not conducted	Not conducted	Not conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Not conducted	Certificate of correspondence for a lot indicating characteristics thereof
3.	Series- produced goods	Certificate of correspondence	Conducted	Not conducted	Not conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Conducted with periodicity, in volumes and in order established by the body of certification	Certificate of correspondence with validity term established by the body of certification
4.	Series- produced goods	Certificate of correspondence on specific	Not conducted	Not conducted	Not conducted	Conducted on the samples selected in order and in quantity	Conducted in periodicity, in volumes and in	Certificate of correspondence with validity term

		features				to be established by the body of certification	order established by the body of certification	established by the body of certification
5.	Series-produced goods	Certificate of correspondence	Not conducted	Conducted	Not conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Conducted in periodicity, in volumes and in order established by the body of certification	Certificate of correspondence with validity term which coincides with validity term of certificate of producer, but not more than 3 years
6.	Series-produced goods	Certificate of correspondence on specific features	Not conducted	Conducted	Not conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Conducted in periodicity, in volumes and in order established by the body of certification	Certificate of correspondence with validity term which coincides with validity term of the attestate of producer, but not more than 3 years
7.	Series-produced goods	Certificate of correspondence	Not conducted	Not conducted	Conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Conducted in periodicity, in volumes and in order established by the body of certification	Certificate of correspondence with validity term which coincides with validity term of the quality certificate, but not more than 3 years
8.	Series-produced goods	Certificate of correspondence on specific features	Not conducted	Not conducted	Conducted	Conducted on the samples selected in order and in quantity to be established by the body of certification	Conducted in periodicity, in volumes and in order established by the body of	Certificate of correspondence with validity term which coincides with validity term of the quality certificate,

							certification	but not more than 3 years
--	--	--	--	--	--	--	---------------	------------------------------

Annex 6

**to the Rules of Compulsory Certification of Road Vehicles,
Their Components and Tools**

Name and address of a body on
certification of products

**ACT
ON SAMPLING**

dated _____199__

For _____
(name of enterprise, organization, address, code OKPO)

I, _____
(title, name, initials of the representative of a body of certification)

in the presence of _____
(title, name, initials of the representative of an enterprise)

selected samples of produce _____

according to the decision No. _____ dated _____

on application _____

Name of samples	Unit of measurement	Volume of a lot in the units of measurement	Production date	Number of selected samples
1	2	3	4	5

**Representative of the body
on certification**

(signature)

(name, initials)

Representative of the applicant

(signature)

(name, initials)

Annex 7

**to the Rules of Compulsory Certification of Road Vehicles,
Their Components and Tools**

Name and address of a body on
certification of products

**A C T
OF IDENTIFICATION**

_____ (name of produce)
produced at _____
_____ (name of enterprise and its location)
_____ (date) _____ (city)

Representative of the body on RV certification

_____ (title, place of work, name)
and an authorized representative _____
_____ (name of enterprise)

_____ (title, name)
have concluded this act to certify that selected samples _____
_____ (name of produce)
for testing with a view of conducting certification meet the requirements _____
_____ (indication and name of the normative document)

as to its marking and completion

The selected and sealed (filled) samples _____
_____ (name of produce)
have been identified and may be presented for testing with a view of conducting certification.

**Representative of the body
on certification**

_____ (signature) _____ (name, initials)

Representative of the applicant

_____ (signature) _____ (name, initials)

Seal

Annex 8
to the Rules of Compulsory Certification of Road Vehicles,
Their Components and Tools

GENERAL CHARACTERISTICS OF THE ROAD VEHICLE

Wheel formula/drive wheels	
RV composition scheme	
Type of a body of the vehicle/number of doors	
Number of seats	
Overall size, mm, length	width height
Wheel basis, mm	
Track of front/back wheels, mm	
Mass of equipped road vehicle, kg	
Full mass, kg	
Maximum load, kg	
- on the fore axle	
- on the back axle	
Admissible full mass with a trailer, kg	
- trailer without brakes	
- trailer with brakes	
Engine: mark, model, type	
- number and location of cylinders	
- operating volume, cub sm.	
- degree of compression	
Maximum capacity, kW, number of rotations per minute	
Maximum rotating moment, Nm, number of rotations per minute	
Fuel	
Feed system	
Carburetor : mark, type	
Fuel pump, mark, type	
Ignition system	
Ignition reel	
Distributor	
System of exhaust and neutralization of discharged gases	
Main damper: mark, type	
Additional damper: mark, type	
Transmission	
Coupling: mark, type	
Gear box: mark, type	
- number of transmissions, gear ratio	
Main transmission: mark, type	
- gear ratio of the main transmission	
Suspension: mark, type	
- front	
- back	
Steering: mark, type	
Brake systems :	
- operating	
- reserve	
- idling	
Tyres	

Additional body equipment

Head of the product certification body _____
(signature) (name, initials)

Date “_____” _____ **199** _____ **Seal**