

SCHEME RULES FOR ELEMENT SAFETY CERTIFICATION

Definitions

Applicant	An organisation or a person who applies to Element to obtain a CB Test Certificate (CBTC), a Element Safety Test Certificate or a Element Mark Certificate of Conformity. The applicant is the holder of the IECEE CBTC, Element Safety Test Certificate or Element Mark Certificate of Confiormity .
Manufacturer	An organization, situated at a stated location or stated locations, that carries out or controls such stages in the manufacture, assessment, handling and storage of a product that enables it to accept responsibility for continued compliance of the product with the relevant requirements and undertakes all obligations in that connection.
Certification body	Element Materials Technology, Pendle Place, Skelmersdale, West Lancashire, WN8 9PY, United Kingdom.
Safety Test Certificate Scheme	This is a system 1a product certification scheme as defined by ISO IEC 17067 (2013-08). The certification output from this scheme is a Test Certificate. This system is a type test certification and does not include any market or factory surveillance. Holders of a Test Certificate are <u>not</u> entitled to apply the Element certification mark.
Safety Certification Scheme	This is a system 5 product certification scheme as defined by ISO IEC 17067 (2013-08). The certification output from this scheme is a Element Mark Certificate of Conformity and a Test Certificate. This system includes testing, factory surveillance and product sampling. Factory surveillance is normally conducted annually. Samples of the product may also be taken from the point of production or from the market to be assessed for ongoing conformity. For unique product that is individually inspected as part of the test process the ongoing conformity assessment is waived. Holders of a Element Mark Certificate of Conformity are entitled to apply the Element certification mark.
Element Certificate of Conformity	Document issued upon successful certification, detailing products covered within the scope of the certification for the purposes of production control, factory surveillance and application of the Element certification mark.
Element certification mark	Certification mark placed on product indicating compliance of that product with the rules of this scheme and in accordance with the requirements of the UKIPO Regulations relating to the use of Certification Mark no 2461334 in Class 42 of Schedule 2 of the Trade Marks Act 1994.
IECEE CB Scheme certification	The IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components as defined by IEC document IECEE 02 Edition 14.0 (2012-06).

Responsibilities of the Applicant

- 1.0 The Applicant must:
- 1.1 Abide by these scheme rules and the relevant provisions of the CB scheme where applicable;
- 1.2 co-operate fully with Element and make all necessary arrangements for the conduct of the evaluation, including provision for examining documentation and access to all areas, records (including internal audit reports) and personnel for the purposes of evaluation (e.g. testing, inspection, assessment, surveillance, reassessment) and resolution of complaints;
- 1.3 only make claims regarding certification in respect of the scope for which the certification has been granted (as detailed on the CB Test Certificate (CBTC), a Element Safety Test Certificate or a Element Mark Certificate of Conformity) and, for a Element Mark Certificate of Conformity, within the valid dates of that certification;

- 1.4 upon expiry, suspension, withdrawal or cancellation of a certificate or Element Mark Certificate of Conformity, discontinue its use of all advertising matter that contains any reference thereto and return any certification documents as required by the certification body;
 - 1.5 endeavour to ensure that no certificate or report nor any part thereof is used in a misleading manner;
 - 1.6 inform the certification body of any intended or actual modifications to the product or production control process which may effect the validity of the certification (note that responsibility for continued conformity remains with the Applicant);
 - 1.7 operate a complaints procedure and keep a record of all complaints made known to the Applicant relating to a product's compliance with requirements of the relevant standard and to make these records available to the certification body when requested;
 - 1.8 take appropriate action in response to a complaint (as detailed in paragraph 1.7) and document these actions;
 - 1.9 notify the certification body in writing if non-compliant product (covered by a certificate or licence issued by Element) is released onto the market or otherwise supplied;
 - 1.10 pay all fees in association with the application and ongoing certification activities such as surveillance of the quality management system, sampling of the product from the factory or market and product modification;
 - 1.11 inform the certification body of any change to details listed on the certificate or licence, including address details (failure to keep Element informed of these details may invalidate your certificate or licence);
 - 1.12 advise the certification body of the name and contact details (address, telephone and email) of the person responsible for liaising with the certification body in respect of certificates and/or Element Mark Certificate of Conformity.
-
- 2.0 The Applicant must not:
 - 2.1 Use its product certification in such a manner as to bring the certification body into disrepute;
 - 2.2 make any statement regarding its certification which the certification body may consider misleading or unauthorised;
 - 2.3 use the name of the certification body in any advertising or promotional media without prior written permission of the certification body;
 - 2.4 use the certificate number or Element Mark Certificate of Conformity number or UKAS accreditation number of the certification body except as authorised by the certification body (note that authority may be withdrawn at any time in accordance with these scheme rules - see also section 3.3.2);
 - 2.5 mark the certificate number or use the Element certification mark on a product or packaging except where authorised to do so by the certification body and as described within the Element Mark Certificate of Conformity;
 - 2.6 use the UKAS, Element or Element certification mark except with the expressed permission of Certification Body.

Responsibilities of the certification body

- 3.0 The certification body shall:
- 3.1 Evaluate the products of the Applicant against the standards covered by the scope defined in the certification application form against all certification criteria specified in the rules of the scheme;
- 3.1.1 The certification body shall agree with the testing laboratory the scope of the test programme to ensure that all of the products required by the Applicant are covered by the resultant certification;
- 3.2 adopt reporting procedures that suits its needs and that clearly demonstrate conformity with all of the certification requirements;
- 3.3 provide to each supplier offering certified products formal certification documents including certificates and licences;

- 3.3.1 subject to the Applicant's continued compliance with the requirements of the certification scheme, re-issue licences when required;
- 3.3.2 authorise in writing the Applicant to utilize the certificate number or licence number in accordance with these scheme rules;
- 3.3.3 if required, revoke authority in writing in respect of the use of certificate number or licence number in accordance with these scheme rules;
- 3.4 decide as to whether or not to certify a product on the basis of the information gathered during the evaluation process and any other information;
- 3.5 determine whether changes or modifications to the product or production control process effect the certification and what, if any, further evaluation is required to confirm continued certification;
- 3.6 not delegate authority for granting, maintaining, extending, suspending or withdrawing certification to an outside person or body;
- 3.7 have documented procedures to enable surveillance to be carried out in accordance with the relevant criteria of the safety certification scheme and document the findings of such surveillance;
- 3.8 grant certification only in respect of products that conform with the relevant conformity assessment procedures this scheme;
- 3.9 may at the discretion of the certification body include the product name, manufacturer's name, certificate number within documents listing products that are or have been certified under these scheme rules. These documents will be held in the public domain and may contain details of current certificates as well as those certificates subject to withdrawal or suspension;
- 3.10 maintain a complaints, disputes and appeals process whereby complaints regarding certification can be resolved (details of the appeals process are available upon request);
- 3.11 maintain current copies of the certification scheme rules in the public domain and make changes only after notification period of at least three months;
- 3.12 adhere to the rules governing the operation of certification bodies as set out within EN 45011:1998 and ISO 17065:2012 and within the scope of UKAS accreditation and the rules of the IECEE CB scheme;
- 3.13 take necessary action, including suspension or withdrawal of certification, if the certification body has reason to believe that the rules of this certification scheme have been breached (see also section 5 of these scheme rules for further information).

General rules for safety certification

- 4.0 This section of the rules applies specifically to the operation of this scheme.
- 4.1 Application fees, product evaluation fees and production control (surveillance) fees for product certification are payable by the Applicant on demand by the certification body. Delay in paying these fees will delay granting of certification.
 - 4.1.1 Irrespective of the above, licences and certificates will only be issued when all fees have been paid and cleared by the certification body.
- 4.2 The details included by the Applicant on a signed and dated certification application form will be taken as the definitive request for product certification.
- 4.3 Only products listed on a Element Mark Certificate of Conformity may at the discretion of the manufacturer carry the Element certification mark.
 - 4.3.1 Equipment covered only by a test certificate (i.e. where an applicable Element Mark Certificate of Conformity has not been issued) is not eligible for Element marking.
- 4.4 By granting of certification under the safety certification scheme, the certification body does not imply conformity with the Applicant's other obligations under any other regulation or directive.

- 4.5 For issue of the Element mark, a routine product audit and assessment of the manufacturing quality system is normally required. However, for unique product that is inspected as part of the testing process the product audit and assessment of the manufacturing quality system is not required.
- 4.5.1 A factory surveillance inspection of the quality management system used at the manufacturing location may be required and, if so, will be conducted by or on behalf of Certification Body.
- 4.5.2 The product audit and assessment of the manufacturing quality systems are required:
- (i) before a Element Mark Certificate of Conformity is granted (initial inspection/test);
 - (ii) one year after the first inspection/test (re-assessment audit);
 - (iii) when a new product certificate is added to the Element Mark Certificate of Conformity and the production parameters for that certificate are different to those certificates already included.
 - (iv) at a time period determined by Element following an inspection where major non-conformities have been found.
- 4.5.3 The requirements and procedures related to the quality management system may be waived if the factory where the product is manufactured is currently registered to ISO 9001 with a reputable accredited certification body/registrar.
- 4.5.4 In addition to assessment of the quality management system, a sample of the product may be taken from either the market or the point of production, or both, and assessed for ongoing conformity.
- 4.6 Except for IECEE CB Certificates, all other certificates carry an expiry date.
- 4.6.1 A Certificate of Conformity for “Element marked” equipment under the Safety Certification Scheme is issued with an expiry date of five years. These licences are only valid whilst continued conformity is confirmed by an annual review of the quality management system used at the manufacturing location and by sampling of product from the factory or market.
- 4.6.2 Test certificates for equipment under the Test Certificate scheme are issued with an expiry date of two years. The certificate can be re-issued before the expiry date upon completion of a limited inspection of the equipment by Element (for which a fee will apply).
- 4.7 Certification may be suspended or withdrawn if the certification body has reason to believe that the rules of this certification scheme have been breached.
- 4.7.1 Certification of “Element marked” equipment will be suspended if major non-conformities are found during a factory inspection audit.
- 4.7.2 If major non-conformities are found then the frequency of audit may be increased at the discretion of the Certification body.
- 4.8 For “Element marked” equipment, the certification body reserves the right to make unannounced factory surveillance visits in accordance with these scheme rules, the current fee structure and at the client's expense.

Breaches of the scheme rules

- 5.0 This section of the rules applies specifically to breaches of the scheme rules by the Applicant or any third party.
- 5.1 If the certification body has reason to believe that any aspect of the rules of this certification scheme have been breached by the Applicant then the certification will be suspended or withdrawn, pending a full investigation.
- 5.1.1 Failure of the Applicant or third party to fully cooperate with the certification body (see paragraph 1.2 of these rules) is considered to be a breach of these rules.
- 5.2 If the certification body has reason to believe that the rules of this certification scheme have been breached by the Applicant or any third party then appropriate measures will be taken to prevent potential safety hazards and to preserve the integrity of the certification body.

- 5.2.1 If the safety of certified product is compromised or certification markings are improperly used in a way that may mislead users in a dangerous manner then the certification body will undertake to inform the UK regulatory authorities.

Details of the Element Certification Mark

- 6.0 This section of rules applies only to use of the Element Certification Mark.
- 6.1 Where there is a valid Element Mark Certificate, the manufacturer can apply the TRaC Mark (together with the Element Mark Certificate of Conformity Number Tynnnnn) on the certified equipment. The mark must be accompanied by the Element Mark Certificate of Conformity Number. Note that different marking rules may apply for use on product and in other places (e.g. literature and on web sites).
- 6.2 Details of how the mark should be displayed on product and in literature (including web sites) are given in separate Element Mark Scheme Rules.

Example graphic for product marking



T138000
EN60950-1

Example graphic for promotional material, literature, packaging, etc



Certification mark

Post-certification requirements

- 7.0 This section of the scheme rules addresses requirements applicable upon receipt of certificates.
- 7.1 Please retain these documents in a safe place. Please note that to avoid additional re-certification fees (by external certification bodies and/or Element), any errors in the reports or certificates must be reported within 10 days of the date of certification.
- 7.2 Certification is dependent upon continued conformity with all of the requirements of the latest edition of these rule. Please read these rules carefully and contact us if you have any questions.

RECORD OF REVISION

Revision	Description	By	Date
2.0	Addition of section 7 - Post-certification requirements.	SKB	2017-01-25