ASEFA

CERTIFICATION

RULES

Version R – February 2021

(Cancels and replaces version **Q** dated **Mai 2019** –
Modifications are identified with a vertical line in left margin)

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CONTENT

1. AIM AND SCOPE

These Certification Rules are intended to establish the rules governing the certification of products of products series pertaining to the field of electrical and/or electronic devices, through a type-test certification process and on the basis of one of the reference documents of the ASEFA certification scope listed in the document “List of reference documents”.

Different certificates can be issued by ASEFA:

- ASEFA certificates
- ASEFA certificates according to STL guide

2. DEFINITIONS

Type-test compliance certificate: A document issued by ASEFA attesting compliance of the tested product or series of products with the pertaining reference documents.

Application: Document by which an applicant applies for ASEFA and/or “ASEFA/STL” certificates, declares to know the ASEFA Certification Rules and undertakes to comply with them.

Applicant: Legal entity (represented by the person signing the application) applying for a certificate.

Distributor/Retailer: Organization that performs or controls the stages of marketing and distribution of a product.

Certification application file: Set of documents to be provided for the certification of a given product or series of products.

Identification file: Set of data and characteristics that clearly identify the product or the series of products to be certified.

Manufacturer (or Constructor): Organization that carries out or controls the steps related to the manufacturing, inspection, handling and warehousing of a product, that is responsible for maintaining the product's compliance with the appropriate requirements over time and that complies with all the related obligations. (The applicant and the manufacturer are often the same entity).

Commercial series: A range of devices that have the same basic commercial designation. They generally have a similar presentation but different dimensions and thermal currents.

Product series: is either a commercial series or a technical series.

Technical series: A number of devices within a commercial series that have the same design. A technical series include those devices with operating characteristics not technically depending on manufacturing differences.

Approved Laboratory: Test laboratory of an ASEFA member or not, having been submitted to an approval process by ASEFA.

Product: A finished item having its own characteristics identified and submitted to certification.

Admissibility: Status of a folder that allows considering all elements of the application make it eligible or not for certification.

Certification Rules: A document that specify the conditions under which ASEFA certification is granted for a given category of products.

Tests supervision: Process including not only the follow-up of the tests but also the verification of any item related to the correct operation of the laboratory under its ASEFA approval. Tests supervision may include witnessing the whole or part of the tests.

Certificate-holder: Legal entity to which ASEFA certification is granted. It may be the product’s manufacturer or its representative.

3. PROCEDURE TO OBTAIN AN ASEFA CERTIFICATE

3.1 Types of application

An application may be placed for a product or a series of products as part of an initial certification or changes related to a modification.

3.2 Presentation of the application

The certification application shall be addressed to ASEFA.

The application must be received by the Permanent Secretariat at least ten working days before the scheduled start of testing in order to give time for the review of the application and the preparation of the test program.

3.3 Content of a certification application file

A single copy of a certification application shall be prepared for each product or series of products presented for certification, using the ASEFA certification application form, including an identification file.

The identification file is considered as a contractual document intended to identify the equipment submitted for certification.
It includes the following:

- General drawing,
- List of drawings of equipment including numbers, revision indexes and dates,
- Photographs of equipment, drawings or other spatial representations,
- Part-list for traceability of all the components of the equipment, including software when applicable,
- Complete reproduction of the manufacturer's plates, manufacturing or batch numbers or batch manufacturing dates,
- List and diagrams of internal electrical circuits.

Additional items that can be provided by the applicant:

- Instructions for installation, use, maintenance and end-of-life processing manuals
- Attestation of the compliance of the product tested with the other products manufactured, issued by the applicant,
- List of certification reference documents with dates of issue for the equipment presented, where necessary.

3.4 Commitment to respect the Certification Rules

The Commitment to respect the ASEFA Certification Rules is established through the application sent to ASEFA by the applicant, dated and signed and including the handwritten statement "read and approved".

When the certificate holder is different from the applicant, the applicant shall also provide ASEFA with the commitment of the holder to respect the ASEFA Certification Rules in force.

3.5 Particular cases

3.5.1 Obtaining ASEFA certificates for manufacturer’s licensees

The ASEFA Certificate is such as:

- The certificate-holder is a manufacturer member of ASEFA with an ASEFA approved laboratory where certification testing is conducted,

- The manufacturer is not part of the same group than the one of the certificate-holder but is manufacturing the certified products under certificate-holder’s license,

- The trademark is the certificate-holder’s one.

There may be several manufacturers licensed for the same product type, defined by the same Identification File.

Administrative rules

1) An application for certification using the application form for certification is placed to ASEFA by the future certificate-holder (member of ASEFA)

2) Upon receipt of the application, an offer for certification is addressed by the Permanent Secretariat to the future certificate-holder; this offer specifies the possible need for further testing.

Arrangements for the preparation of (the) certificate(s)

ASEFA shall have the information on how the licensees are controlled by the certificate-holder, namely:

- Identification File (IF) of the product
- Licence agreement binding the certificate-holder to the licensed manufacturer.

A copy of Identification File must be provided to ASEFA.

The tests are performed on samples produced by one of the license's owners, in the approved laboratory of the certificate-holder.

3.5.2 Obtaining Certificates ASEFA for products labelled

A certificate-holder, member of ASEFA, has an ASEFA certificate for his product P and applies for a certificate for his labelled product similar to product P.

The ASEFA certificate for the product labelled is such that:

The certificate-holder is the "labeller"

The reference of the product corresponds to the one of the labelled product

The trademark is that assigned by the "labeller"

The manufacturer is the original certificate-holder, member of ASEFA

The Test reports mentioned are those relating to the certification of the initial product as well as a summary report prepared by ASEFA which identifies the products to be certified, provides the comparative table of references, gives information on their identity construction, refers to the identification file and to the tests reports used for the certification of product P.

Administrative rules

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2) Upon receipt of the application, an offer for certification is addressed by the Permanent Secretariat to the future certificate-holder; this offer specifies the possible need for further testing.

Arrangements for the preparation of (the) certificate(s)

ASEFA shall have the following information:

- Information regarding the nature of the agreement between the initial certificate-holder and the "labeller"
- A Statement of Identity between the models labelled and the corresponding original models including any possible differences, the table of equivalent references, the reference of the identification file and the name of the manufacturer.
- An Authorization established by the original certificate-holder by which the " labeller" is allowed to refer to the test reports having served for the certification of the original product P.

3.6 Management of possible conflicts of interest and confidentiality

The certification process stipulated in the Certification Rules as well as the rules set up by ASEFA and its quality system ensure that the possible conflicts of interest are properly dealt with and guarantee that the

process will be applied regardless of any previous services from an ASEFA Member of which the applicant could have benefited for the conformity of his product.

All the data provided to ASEFA by the applicant or the holder of an ASEFA Certificate including all the information given by third parts (complainant, supervisory authority, …) regarding the applicant or the holder of an ASEFA Certificate, are confidential, except that information as specified in § 8.2.

If ASEFA is required by the law to release confidential information the applicant or the holder will beforehand be notified about the information provided, unless prohibited by law.

The information pertaining to the client obtained by sources other than the client itself (e.g. complainant, Regulation Authorities) shall be considered as confidential.

4. CERTIFICATION PROCESS

4.1 Application review

ASEFA verifies that the application file is complete and that sufficient resources necessary to process the application (technical, human resources and time) are available.

ASEFA ensures the agreement of the approved laboratory proposed for the tests.

4.2 Evaluation: realization and supervision of the tests

The tests for certification are described in the program established or validated by ASEFA.
These tests shall be performed in a laboratory approved by ASEFA and respecting its rules (See § 7). Test results are subject to test report(s) using the form issued by the relevant certification scheme.
Unless specific requirements apply, the decision rule applied is the simple acceptance method as described in the IEC Guide 115.

4.2.1 Tests supervision

The supervision of the tests by an ASEFA Certification Officer is systematic.
This supervision is generally made remotely.

The Technical Manager of the approved laboratory provides ASEFA with information relating to:

- the start date of the tests, the dates of intermediate phases and of end of tests,
- the conditions of implementation of the tests,
- the progress of testing and the results obtained (periodicity of transmission of this information depends on the volume and duration of tests),
- any modification during the tests of the provisional schedule of the tests,
- any anomaly noticed during testing.

Modalities of communication

Supports of communication
► To use means with fast connections is preferred, e.g. the electronic mail.
► Results orally reported must be confirmed in every case in writing.

Presentation
► The number of the chapter or that of the paragraph of the test concerned is mentioned with the relevant result.
► The test result is indicated either by the "satisfying" observation or by the results calculated to obtain and obtained.
► The volume, cadence, deadline and nature of the information exchanges are agreed before starting the tests.
► The laboratory can make proposals on the mode of transmission of its information.

Information exchanges are made with due regard to confidentiality and safety.

Tests witnessing
During the validation of the test program, ASEFA evaluates the need to witness the whole or part of the testing program, informs the laboratory thereof and agrees with the laboratory to the practical conditions. This evaluation takes into account the particular situation of each laboratory regarding its recent functioning within ASEFA.

Tests witnessing can be made remotely (e.g. with an IP camera) for the Low-voltage domain.

Remarks:
- Test witnessing are realized by one or several Certification Officers competent for the domain concerned, who can delegate this function to one or several Observers.
- Tests witnessing is systematic for any first use of an approved laboratory.

4.2.2 Non-compliant results

In case of non-conformity noted before the completion of the test program, the Technical Manager shall interrupt the progress of the test program and inform the Certification Officer.

The Certification Officer decides how to pursue the certification test program taking into account the feedback analysis of the applicant regarding the non-conformities observed and of his choice regarding one of the following options:

- to modify his product in order to maintain the initial characteristics to be certified, or
- to degrade the characteristics to be certified.

If deemed necessary, the Certification Officer may decide to take over all or part of the tests. In case of retesting, an additional certification offer is sent to the applicant by ASEFA.

4.2.3 Shipment of samples to be tested when tests are not carried out in the applicant's laboratory

The product sent to the laboratory shall include a firmly-attached label bearing the product designation and reference, as well as the date of shipment. The packaging must be appropriate to ensure that products arrive in good condition at the laboratory.

Products for testing must be addressed to the test laboratory, customs cleared and with transport costs paid, so that no intervention by the laboratory is required upon reception.
Failure to comply with this clause shall result in the refusal of the product by the receiver.

4.3 Certification decisions

The following decisions may be made by ASEFA in response to a certification application:

a) Decision to grant certification, resulting in the issuing of a certificate,
b) Refusal of certification (the applicant is informed of the reasons for that refusal).

The certification decision is taken by the President of ASEFA on proposal of:

- The Certification Officer, for the Low-voltage domain (LV),
- The Certification Committee, for the High-voltage domain (HV), based on the report of the review prepared by a Certification Officer.

The consultation of the Certification Committee is done by email by the Permanent Secretariat, which specifies the expected deadline for the response of said Committee. Any certification disagreement expressed by a member of the Certification Committee must be documented. In case of disagreement, the corresponding certification file is reviewed at the next meeting of the Certification Committee.

4.4 Validity of the certificate

The validity of a type test certificate issued by ASEFA is unlimited unless cancelled with justification e.g. due to the failure to comply with these Rules.
The Permanent Secretariat keeps an up-to-date list of the certified products and their certificate-holders. The list can be provided upon request.

4.5 Appeal of a decision – Complaints and Claims

The applicant/certificate-holder may challenge a decision. Appeals are to be addressed to the Quality Manager who ensures an independent review of the file, with help of technical resources not involved in the decision. Based on this review, the Management Committee takes the final decision. The deadline for a reply from each of these Committees is six weeks from the receipt of the letter of appeal.
Other Claims and complaints are managed according provisions of Quality Manual which may be communicated on request.

5. MODIFICATION OF CONDITIONS INFLUENCING CERTIFICATION

The applicant/holder shall ensure his ability to comply with these Rules and to give written notice to the ASEFA Permanent Secretariat of any modifications that may affect this ability.
Any modification of the conditions for obtaining and maintaining a certificate must be reported in writing to ASEFA by the applicant/holder.
ASEFA then assesses the conditions for maintaining the certification of the product(s) concerned.

5.1 Modifications regarding the certificate-holder

The applicant/certificate-holder shall give written notice to the ASEFA Permanent Secretariat of any legal modifications regarding its company or any change to its corporate name.

ASEFA will consider the modalities of a new acceptance and will determine whether the elements of the initial certification file may be taken into account to update the certification of the product(s) concerned.

In case of modifications regarding the certificate-holder, for an application in progress, ASEFA will determine whether the elements of the initial certification file may be taken into account.

5.2 Modifications regarding the certified product

Any modification of the product shall be declared precisely in writing to ASEFA.

ASEFA assesses the impact of the modifications on the intrinsic conformity of the product to the relevant reference documents and decides on any appropriate additional tests to maintain the certification of the product(s) concerned.

5.3 Application for updated certificates

It concerns an application for a certificate pertaining to a product previously certified, due to possible evolution of the product and/or the reference documents or in response to market needs that require recent certificates, when a certain time has elapsed since the issuing of the initial certificate.

The applicant shall provide:

- a declaration related to the product revisions compared to the sample for which the previous certificate was granted
- an up-to-date identification file of the equipment concerned.

To decide whether or not additional tests are required, ASEFA examines:

- the developments of the product,
- the possible developments of the reference documents.

A new certificate is issued based on the previous certificate, the up-to-date identification file and on the additional test results when applicable.

6. CERTIFICATION COMMITTEE – REPRESENTATION OF CONCERNED PARTIES

All of the concerned parties are represented in the Certification Committee. The Certification Committee is composed of three colleges: manufacturers, users and third party organizations.

The Certification Committee is particularly responsible for providing advice on:

- The present Certification Rules and its revisions,
- Any decisions to be made under these Rules,
- Any files including interpretation issues,
- Any proposed revisions of the certification process.

7. TESTING LABORATORIES

7.1 General terms

The tests for certification shall be performed by laboratories approved by ASEFA.
These laboratories - first, second or third party - can be laboratories of members or laboratories of non-members.
The tests can be performed in any approved laboratory subject to verification by ASEFA of the agreement of the two parties, applicant and laboratory.

The list of certified laboratories is available on the ASEFA website.

Remark: The provisions pertaining to the approval of a testing laboratory are set out in an ASEFA Operational Rule No.3.

The respective commitments of ASEFA and the test laboratory are formally recorded in a contractual agreement.

7.2 Use of a non-approved laboratory

If, for an ASEFA certification, the approved laboratory has to subcontract a part of the tests program, this subcontracting is permitted only in the following cases:

- Temporary overload of the approved laboratory,
- Lack or insufficient performance of the specific testing means.

This subcontracting shall be first proposed to other approved laboratories able to run it.
If none of them can accept - for technical reason (lack of appropriate testing means, risk of impairing the integrity of the equipment to be tested due to it transportation), practical reason (related to cost and/or time for transportation of the equipment to be tested) or confidentiality reason - then the subcontracting can be proposed to a non-approved laboratory, provided that the provisions defined in the operational rule No. 3 are respected.

The list of the non-approved laboratories used is prepared and handled by ASEFA.

The Certification Committee is periodically informed by the ASEFA secretariat of the cases of use of non-approved laboratories (at least during the meetings of the Certification Committee).

8. USE OF ASEFA TYPE-TEST CERTIFICATES

8.1 Use of the certificate

All ASEFA certificates are granted for equipment that is tested.
Any statement made by the applicant or the certificate-holder referring to the certificates or other documents issued by ASEFA, is their sole responsibility.

The reference to ASEFA, to CERTIFELEC shall never be affixed to the product, its packaging or any document delivered jointly. Only the certificate itself or reference to the certificate may be used.

The applicant/certificate-holder must ensure that no certificates or test reports are used, in whole or in part, in a misleading way.

The applicant/certificate-holder may declare type test certification of its product provided he also specifies the scope of certification and compliance with reference documents.

Certificate-holders must comply with the ASEFA requirements indicated below when it publicizes its certification via communication channels such as advertising articles, brochures or any other document.
Such documents may only be circulated under the responsibility of the applicant/certificate-holder according to the following terms:

- No request for ASEFA authorization is required for the reproduction and circulation of full certificates or test reports,

- The reference numbers of certificates and test reports may be mentioned provided that they are accompanied by the following indication: "the full text of this certificate (or test report) may be communicated to any person upon request".

To avoid any abuse, any other use must be submitted to ASEFA for prior approval.

Should an ASEFA certificate be suspended or cancelled, the certificate-holder agrees to immediately stop using any document and material that publicize certification and to return to ASEFA the original copy of the certificate as well as any other required documents.

8.2 Public information related to a certificate

The following information related to type certificates that can be shared with third parties or made public are:

- Reference to these Rules,
- Type and reference of the certified product(s),
- Reference number of the certificate,
- Standards or technical reference documents used and tests performed for the certification,
- Certificate-holder's name.

9. CLAIMS ADDRESSED TO A CERTIFICATE-HOLDER

Certificate-holders agree to:

- Keep a record of any claim regarding their products,

- Take and document the actions necessary to process any claim.

- Provide ASEFA, on request, with the whole documents related to the claim and its investigations.

10. FINANCIAL TERMS

Certification fees include charges for:

- Processing of the application,
- Providing ASEFA documents, where applicable,
- Taking into account the test results from approved laboratories.
- Tests witnessing
- Preparation of the certificate,
- Participation in the operational costs of ASEFA.

All expenses will be invoiced according to a previously accepted offer or according to ASEFA rates for its services (available on ASEFA website)
These expenses are charged whatever the certification decision may be.
Where the application is abandoned during its review, only the costs for the processing of the application and supply of any documents ASEFA will be due.

The expenses described above are invoiced to the applicant / certificate-holder. Regarding payment terms, the general terms for ASEFA services apply, unless otherwise stated in the offers.

11. APPROVAL - REVISION

These Rules shall apply upon approval.

For any amendment to these Rules, members and approved laboratories are informed and are recipients of the new version.

These Rules were approved by the Chairman of the ASEFA Certification Committee on:

march 17,2021.

Signature (on the original copy only): Marie-Elisabeth d'ORNANO