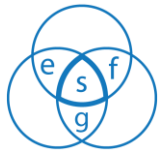


EFSG mutual acceptance processes



Situation 1:

Applications made for all quality marks under EFSG agreements dated after July 2014

KEY

Customer: **C**

Primary Certification Body: **pCB**

Additional Certification Body (one or more than one): **aCB**

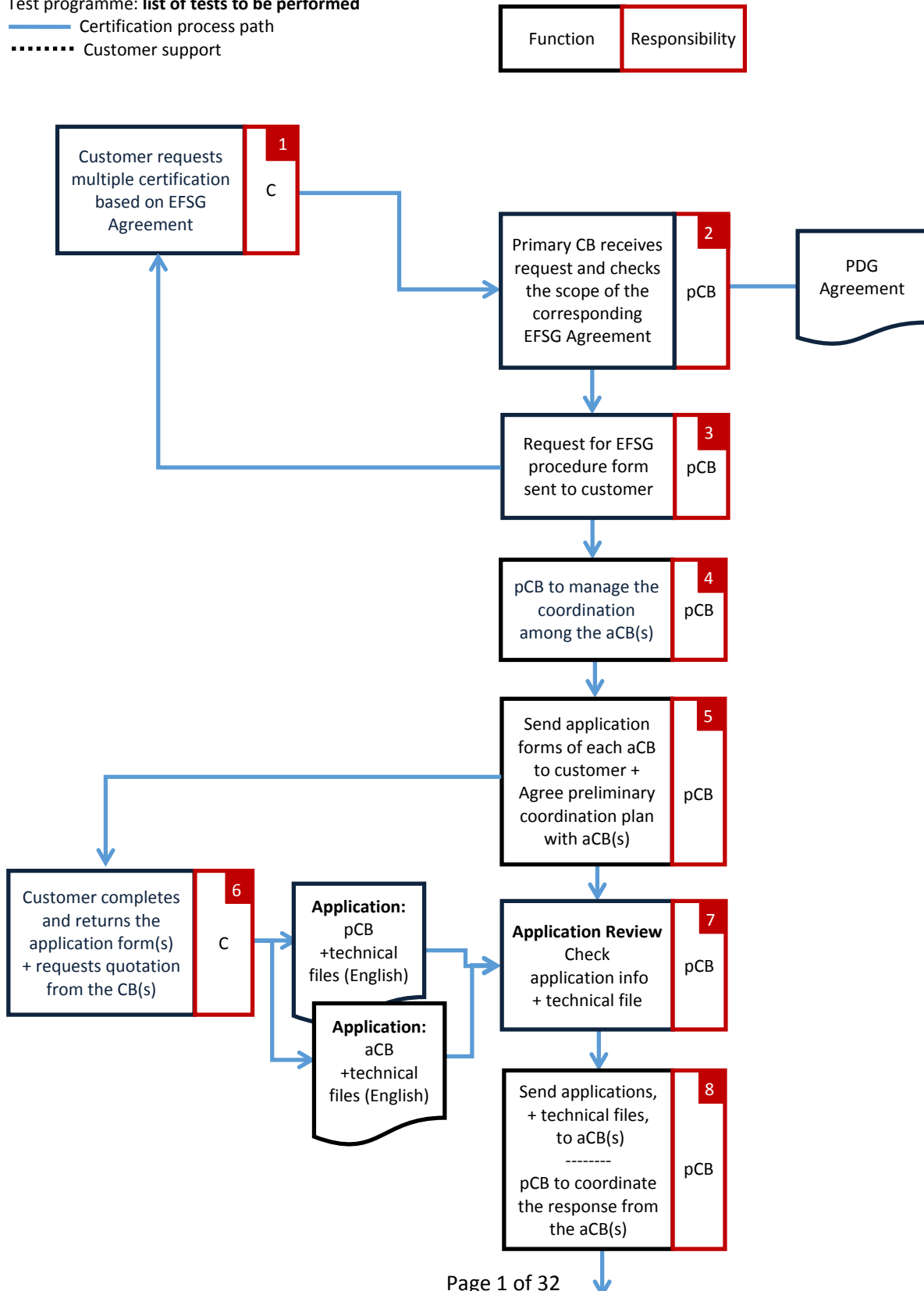
Primary Associated Test Lab: **pATL**

Additional Associated Test Lab: **aATL**

Test programme: **list of tests to be performed**

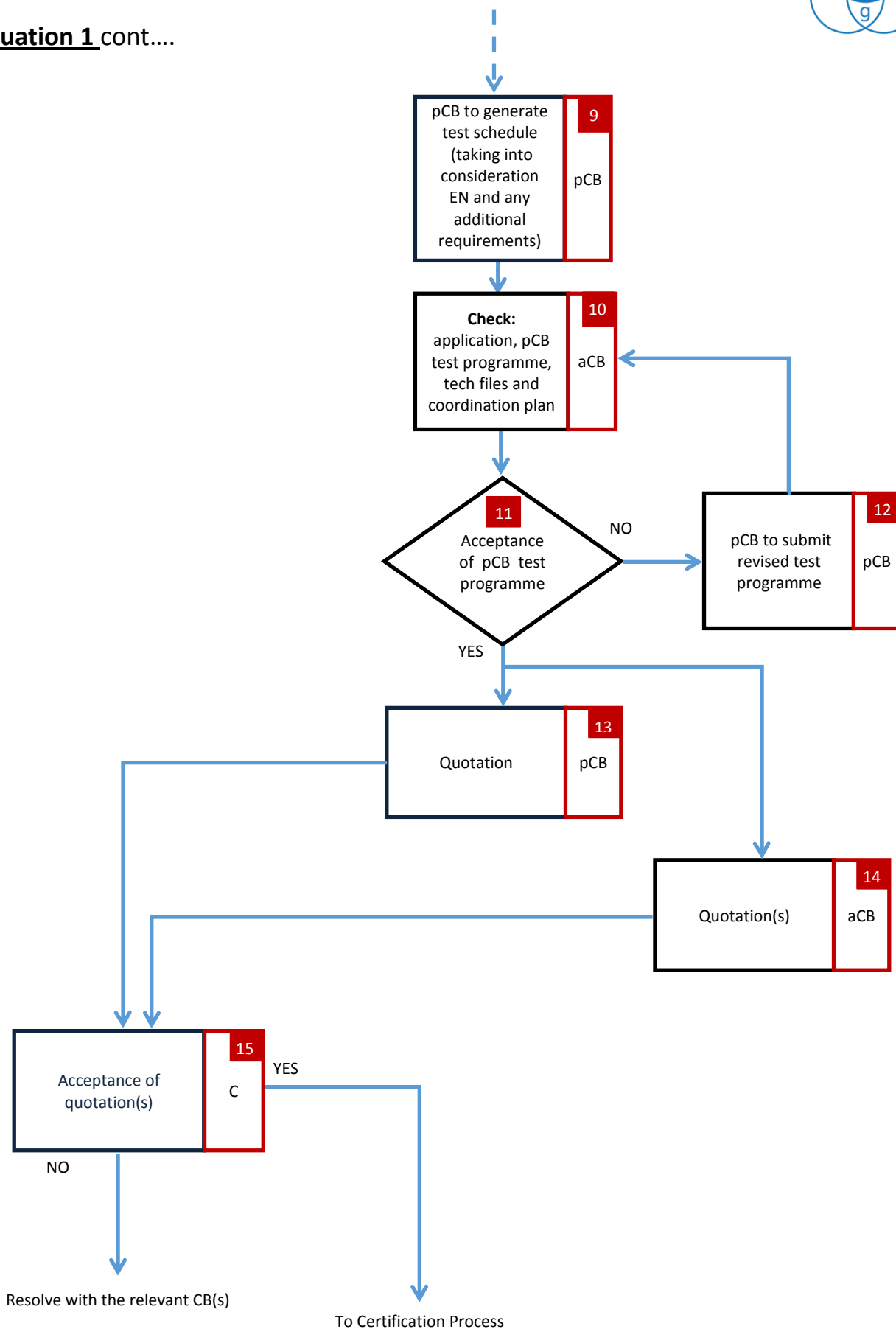
— Certification process path

..... Customer support



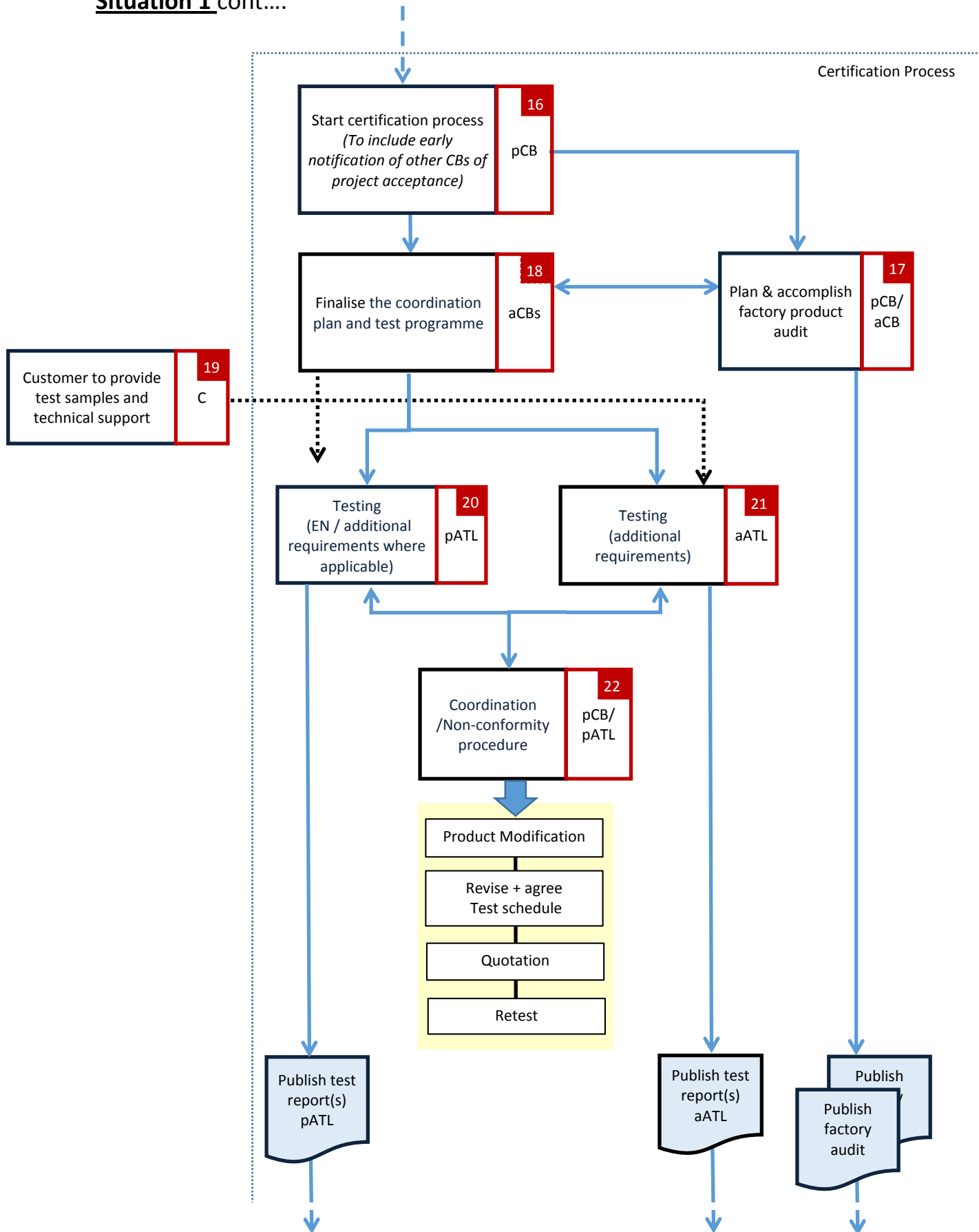


Situation 1 cont....



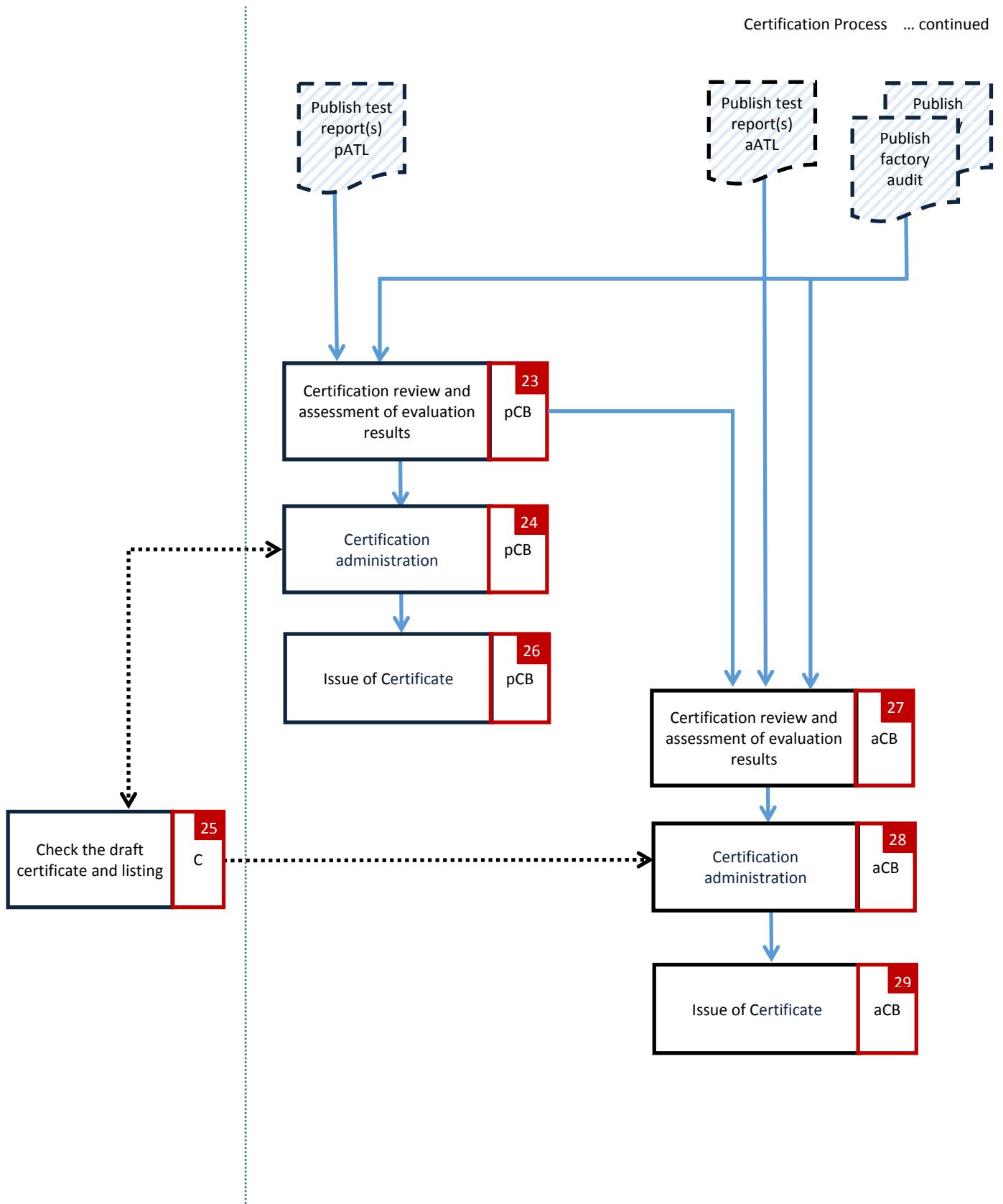


Situation 1 cont....





Situation 1 cont....





Situation 1 – Supporting Notes

Applications made for all quality marks under EFSG agreements dated after July 2014

This route to certification is for new products that have not previously been tested to the requirements of EN standards and where evidence of compliance for certification purposes is based upon tests performed after July 2014.

In the edition of the EFSG Agreement to which these supporting notes relate, the testing of additional market requirements is undertaken by the ATL operating in the market to which the requirements apply.

1 The customer has established a requirement to obtain all quality marks under the EFSG mutual acceptance agreement. The customer then approaches the CB of choice, normally determined by the choice of test laboratory (e.g. native language, available testing capacity).

2 The CB to receive the request adopts the role of Primary CB (pCB) and checks that the products fall within the scope of the corresponding EFSG agreement.

The pCB shall explain to customers that whilst EFSG members work to an agreed test programme, there is a small risk that additional testing may be requested by the aCBs. For example, due to changes in the scope of the approval as a consequence of modifications made to the product(s) to resolve non-conformities identified during testing, or for any other unforeseen circumstance.

3 pCB sends a 'Request for EFSG procedure' form (*form ref No.FS-100-EFSG*) to the Customer. When completed this permits the pCB to contact the additional CBs (aCB) to inform them about project and share information.

4 The pCB completes the 'coordination plan' (*form ref No.FS-103-EFSG*) and continues to manage the coordination of the additional CBs, ensuring their application forms and any other relevant information is available to send to the customer.

5 pCB sends all application forms to the customer.

It is necessary to enter into contract with each CB whose quality mark is sought. This requires the customer to make individual applications to the CBs. To assist the customer the pCB may agree to complete duplicate information fields once the initial information has been provided by the customer.

6 The customer completes and returns the application forms along with copies of the product technical files. The technical files will usually be in electronic form and comprise of at least the following;

- A functional description
- Circuit diagrams and part lists
- Final assembly drawings and part lists
- PCB artwork
- Software Code (where applicable)
- Instructions for use and installation

One set of technical files is required for each CB. (n.b. If in electronic form the data can be distributed to all aCBs from a single file). The action of returning the application forms initiates the quotation process.



The pCB will offer the customer advice where needed to complete the applications.

- 7** pCB checks the returned applications forms and the technical files for completeness.
- 8** The relevant application forms and technical files are forwarded to the aCBs. It is the responsibility of the pCB to coordinate the responses from each aCB. Information obtained through this correspondence will enable the pCB to prepare the test schedule.
- 9** The primary CB (with support from the ATL) prepares the test schedule for the scope of the approval required, taking into consideration the EN requirements plus any other additional market requirements including those required by the aCBs. The test schedule together with the completed application forms is sent to all other CBs for their comments/acceptance. All CBs shall aim to reply as soon as possible.
- 10** Each aCB checks the test schedule proposed by the pCB and reviews the technical file and coordination plan.
- 11** If an aCB requires changes to the proposed test schedule, the aCB must notify the pCB in writing giving details of the changes. Otherwise pCB is notified that the test schedule and subsequent test programme is accepted.
- 12** The pCB submits a revised test schedule to all aCBs. The sequence of steps 9, 10 and 11 is followed until all aCBs are able to accept the test schedule.

The content of a test schedule may be altered during the test programme for example, due to the customer requesting a change to the scope of the approval or as a result of the product(s) being unable to meet the full test criteria. Details of the changes shall be recorded on the 'final' test schedule and in the test report.

- 13** The pCB provides a quotation to the customer.
- 14** Each aCB also provides a separate quotation* to the customer covering only the elements of the project that is assigned to them.

All CBs shall aim to send quotations to the customer as soon as possible.

*To abide by competition law each aCB must provide separate individual quotations derived without input from the other CBs.

- 15** Upon receipt of the quotations the customer can decide to accept or not. If accepted the pCB shall be notified by the customer and the certification process started. If the customer does not accept any or only some of the quotations, then discussions with the relevant CB(s) must take place to resolve the reasons for rejection.
- 16** The pCB is responsible for officially notifying the aCBs and ATLs that the customer has accepted the project and the certification process begins.

Note: The pCB does not have to wait for the acceptance of quotations from the aCBs in order to start the certification process.

- 17** As applicable the factory product audit process shall be initiated by the pCB. The inspection work required shall be performed in parallel with the product testing stages of the project such that the inspection report(s) can coincide with the delivery of the test reports.



18 The coordination plan between the involved CBs and ATLs is finalised together with any agreed adjustments to the test programme.

19 The customer submits the test samples in accordance with the requirements of the test programme. The customer is also required to provide technical support to the ATLs as and when necessary throughout the testing stages of the programme.

20 The primary Associated Testing Laboratory (pATL) performs the EN testing and the assessment of additional market requirements* as appropriate. The published test report(s) is sent to the pCB.

*The EFSG agreements are based on EN standards but some CBs may require additional tests to be performed that are not called up by the EN standards but reflect market requirements. The additional tests may be conducted during or after completion of the EN testing programme. Where applicable the customer will be required to send extra samples for testing to the additional requirements.

21 The additional Associated Testing Laboratories (aATL) undertake in parallel with step 20, the testing of any other specific additional market requirements as specified by the agreed test schedule.

All testing must be carried out to the satisfaction of the CB(s)

22 If non-conformities are identified during the testing they are to be processed by the primary CB/ATL. The primary CB/ATL shall determine the extent of the retesting necessary to demonstrate full compliance, informing the other CBs as appropriate. All necessary revisions of the test schedule shall be recorded by the primary CB.

It is important for the CBs/ATLs to correspond with each other to confirm that subsequent actions needed to resolve the non-conformities (e.g. product modification) at one ATL does not affect the final assessments of the others. If the final assessments are affected the pCB shall coordinate a further action plan to ensure the test requirements of all involved parties are met. This is likely to involve a revision to the test schedule and retesting.

Each ATL shall publish test results in a report that meets the criteria set out in the EFSG Agreement.

A summary of the non-conformities shall be provided in the test report together with a list of the technical documentation that identifies the product build status at the time of approval.

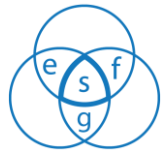
23 The pCB conducts a review and an assessment of the test report(s) and factory inspection results to confirm that the requirements of the test schedule relating to the EN standard and the additional requirements have been fulfilled.

The other CBs shall receive the final version of the test schedule, a copy of the published test report and the scope of the approval (as per the certificate) from the pCB/pATL. Each aCB shall conduct their own certification review process, see step 27.

The EN test findings/ published test report(s) are sent to the aCB(s).

24 The certification administration relating to the specification files, documentation recording and audit processes is completed and verified.

25 Correspondence with the customer confirms that the certification details (such as product marketing names and model numbers) are correct.



It remains the responsibility of the customer to inform all the CBs of the product build status, remembering also that the product build status may change following modification to resolve a non-conformity during testing.

- 26** Certificate issue and use of the pCB quality mark is granted.
- 27** The aCB conducts a review and an assessment the test and factory inspection results to confirm that the objectives related to the additional requirements have been fulfilled. If any issues are found during the review processes they will need to be resolved immediately between the pCB/pATL and all other aCBs involved and where necessary with the customer.
- 28** The certification administration undertaking by the aCB(s) relating to the specification files, documentation recording and audit processes is completed and verified. Correspondence with the customer confirms that the certification details are correct.
- 29** Certificate issue and the use of the aCB(s) quality mark(s) is granted. The release of the aCB(s) certificate(s) will occur after the certificate of the pCB is published.



Situation 2:

Applications made for specific quality marks under EFSG agreements dated after July 2014

KEY

Customer: **C**

Primary Certification Body: **pCB**

Additional Certification Body (one or more than one): **aCB**

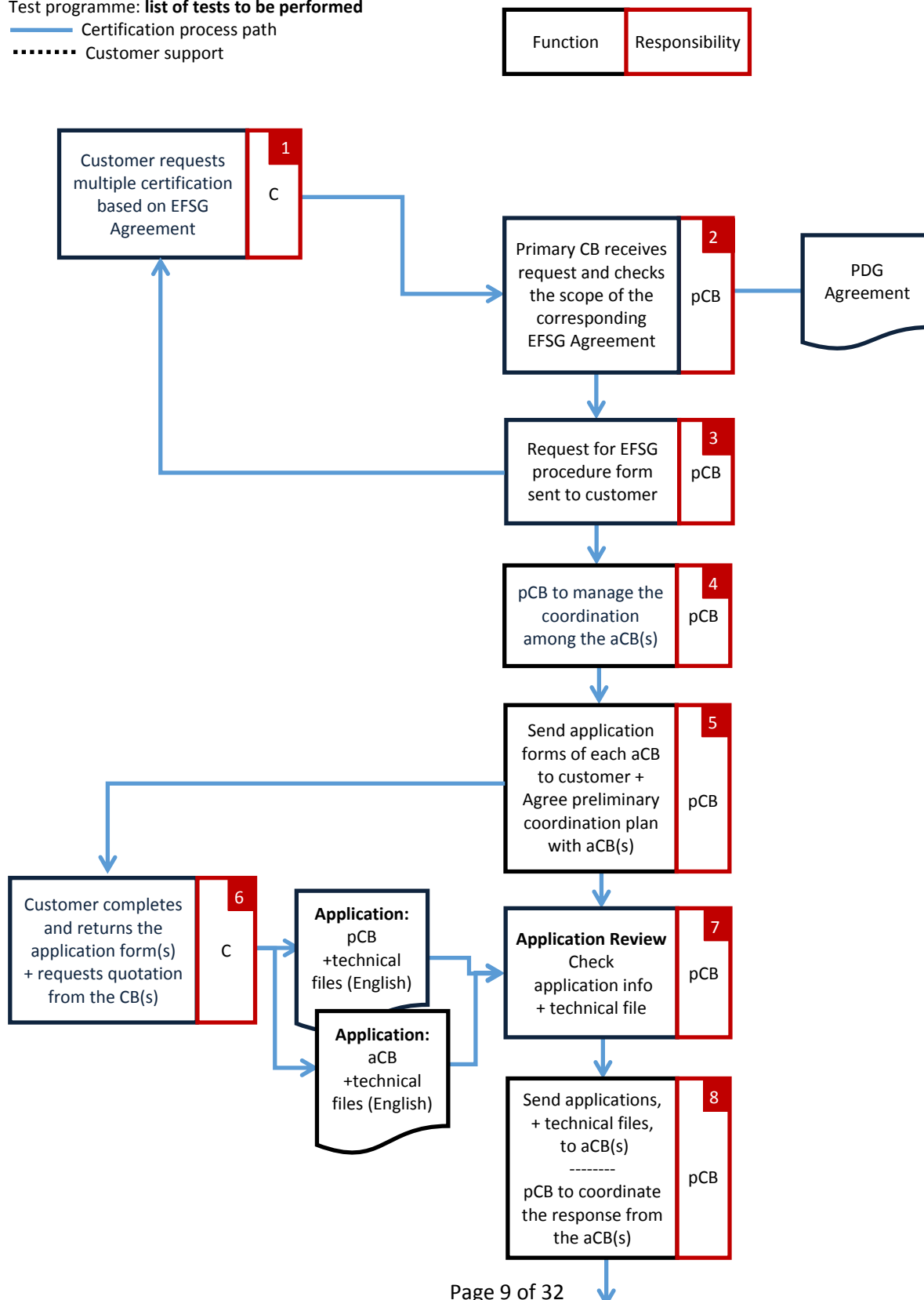
Primary Associated Test Lab: **pATL**

Additional Associated Test Lab: **aATL**

Test programme: **list of tests to be performed**

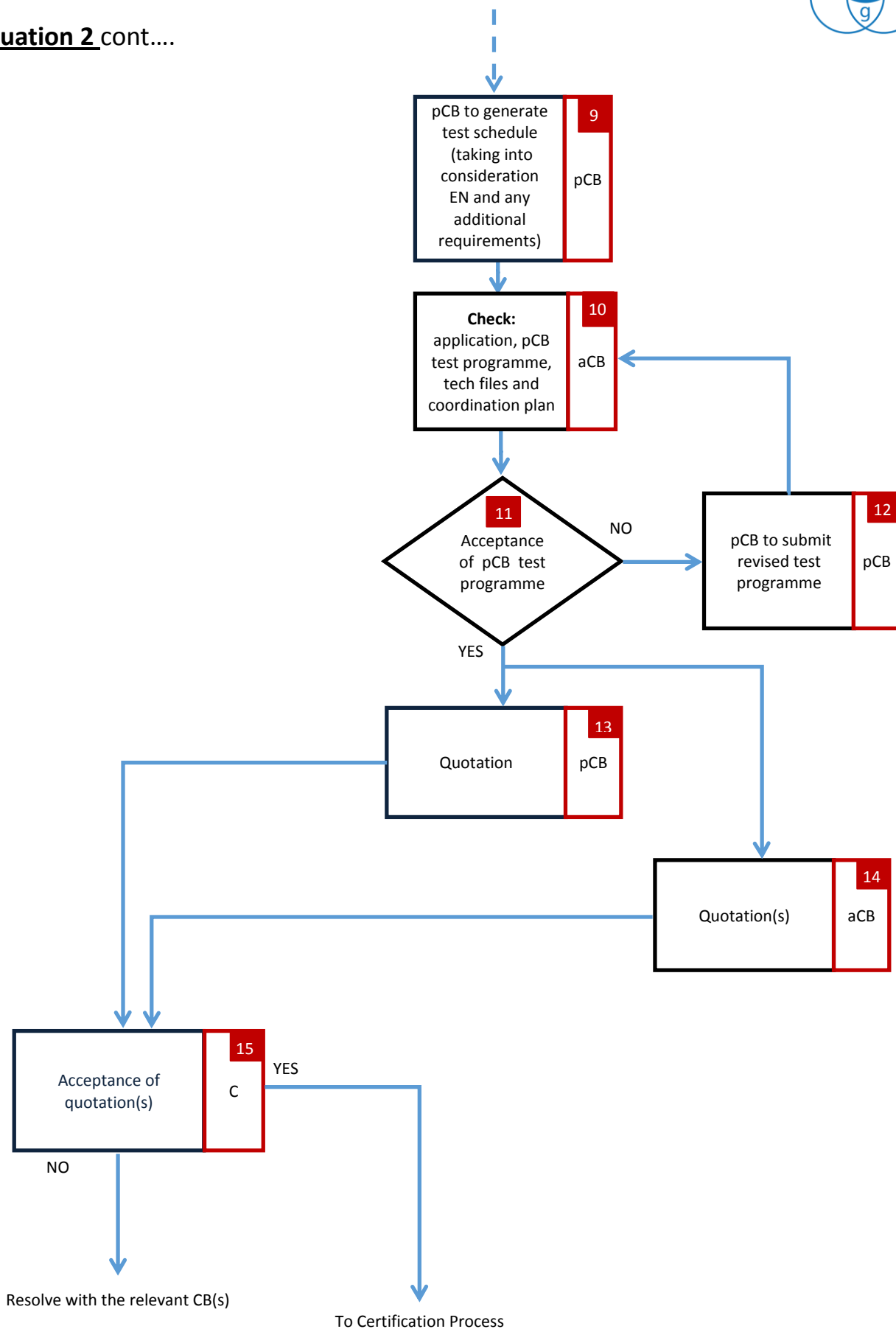
— Certification process path

..... Customer support



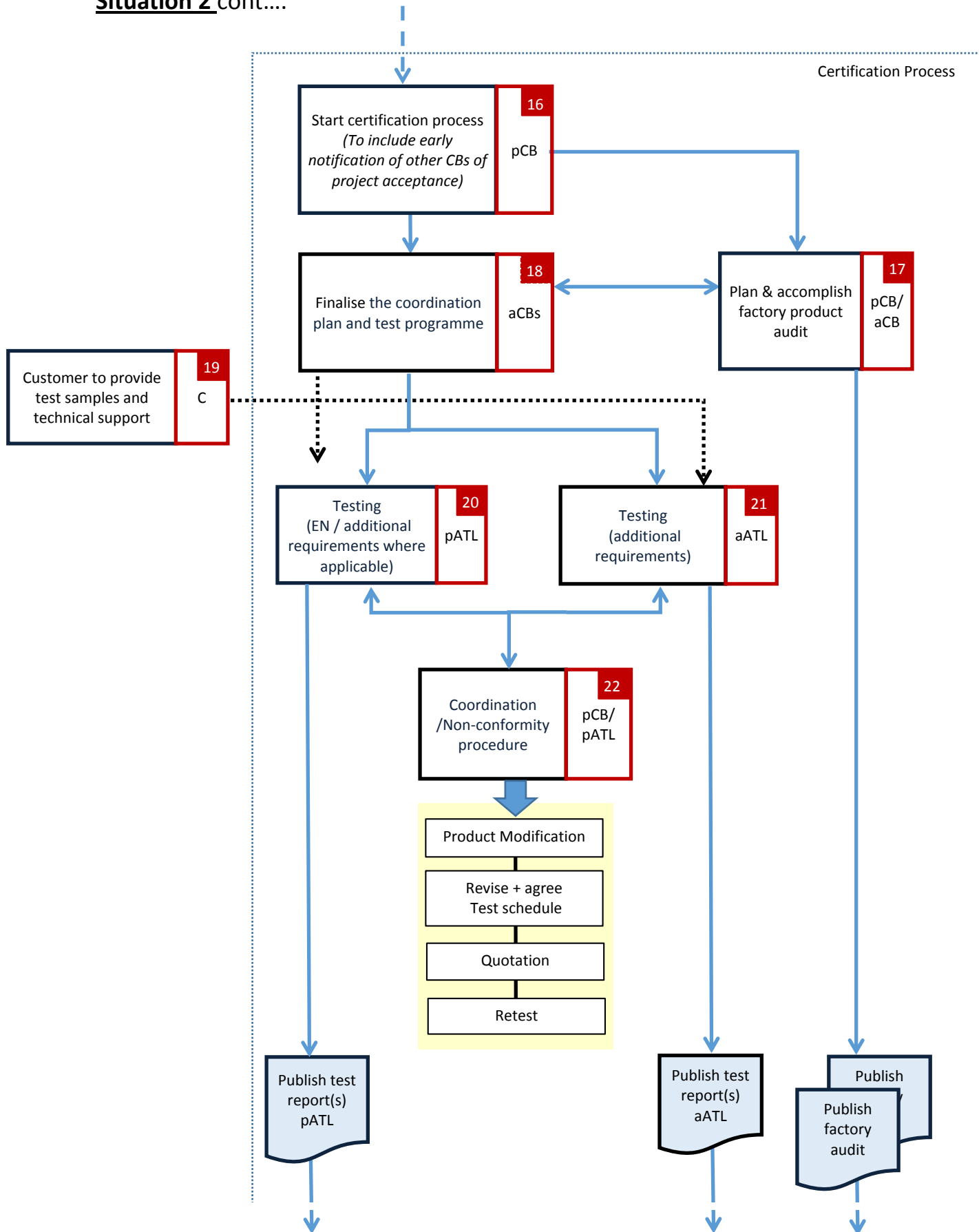


Situation 2 cont....



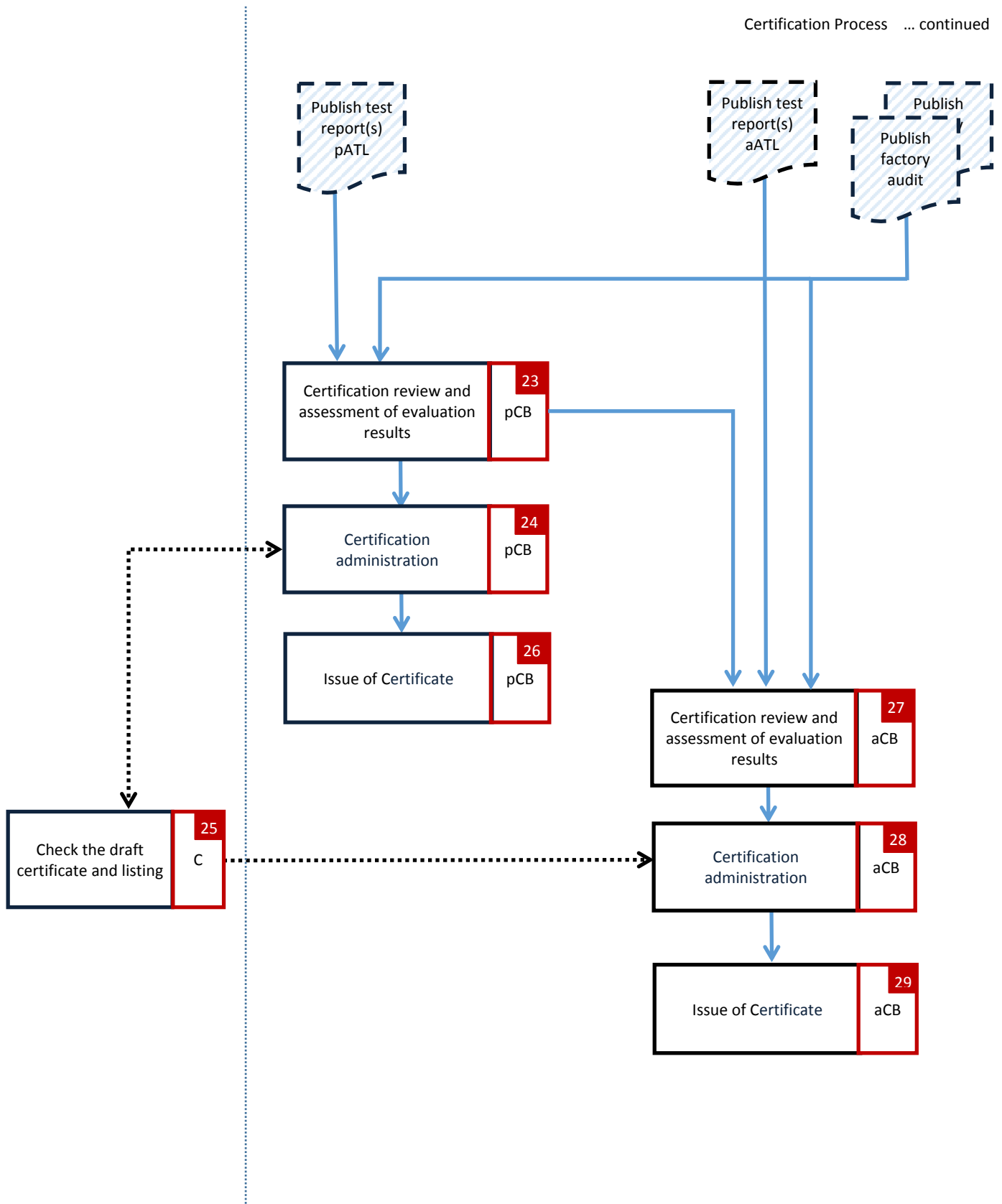


Situation 2 cont....





Situation 2 cont....





Situation 2 – Supporting Notes

Applications made for specific quality marks under EFSG agreements dated after July 2014

This route to certification is for new products that have not previously been tested to the requirements of EN standards and where evidence of compliance for certification purposes is based upon tests performed after July 2014.

The customer requires at least two quality marks for their product(s) from two certification bodies that are signatory to EFSG agreements dated after July 2014, but may want to obtain further quality marks in the future.

The customer can opt to involve all the CBs in the review of the test schedule, or the review of test schedule and test report to reduce the risk of further testing at a later stage. The customer will be requested to indicate this at application stage.

In the edition of the EFSG Agreement to which these supporting notes relate, the testing of additional market requirements is undertaken by the ATL operating in the market to which the requirements apply.

- 1** The customer has established a requirement to obtain two or more quality marks under the EFSG mutual acceptance agreement. The customer approaches the CB of choice.
- 2** The CB receiving the request adopts the role of Primary CB (pCB) and checks that the products fall within the scope of the corresponding EFSG agreement.

The pCB shall explain to customers that whilst EFSG members work to an agreed test programme, there is a small risk that additional testing may be requested by the aCBs. For example, due to changes in the scope of the approval as a consequence of modifications made to the product(s) to resolve non-conformities identified during testing, or for any other unforeseen circumstance.

- 3** pCB sends a 'Request for EFSG procedure' form (*form ref No.FS-100-EFSG*) to the Customer. When completed this permits the pCB to contact the additional CBs (aCB) to inform them about project and share information.
- 4** The pCB completes the 'coordination plan' (*form ref No.FS-103-EFSG*) and continues to manage the coordination of the additional CBs, ensuring their application forms and any other relevant information is available to send to the customer.
- 5** pCB sends all application forms to the customer.

It is necessary to enter into contract with each CB whose quality mark is sought. This requires the customer to make individual applications to the CBs. To assist the customer the pCB may agree to complete duplicate information fields once the initial information has been provided by the customer.



6 The customer completes and returns the application forms along with copies of the product technical files. The technical files will usually be in electronic form and comprise of at least the following;

- Circuit diagrams and part lists
- Final assembly drawings and part lists
- PCB artwork
- Software Code (where applicable)
- Instructions for use and installation

One set of technical files is required for each CB. (n.b. If in electronic form the data can be distributed to all aCBs from a single file). The action of returning the application forms initiates the quotation process.

The pCB will offer the customer advice where needed to complete the applications.

7 pCB checks the returned applications forms and the technical files for completeness.

8 The relevant application forms and technical files are forwarded to the aCBs. It is the responsibility of the pCB to coordinate the responses from each aCB. Information obtained through this correspondence will enable the pCB to prepare the test schedule.

9 The primary CB (with support from the ATL) prepares the test schedule for the scope of the approval required, taking into consideration the EN requirements plus any other additional market requirements including those required by the aCBs. The test schedule together with the completed application forms is sent to all other CBs for their comments/acceptance. All CBs shall aim to reply as soon as possible.

10 Each aCB checks the test schedule proposed by the pCB and reviews the technical file and coordination plan.

11 If an aCB requires changes to the proposed test schedule, the aCB must notify the pCB in writing giving details of the changes. Otherwise pCB is notified that the test schedule and subsequent test programme is accepted.

12 The pCB submits a revised test schedule to all aCBs. The sequence of steps 9, 10 and 11 is followed until all aCBs are able to accept the test schedule.

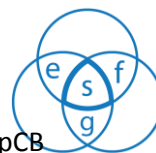
The content of a test schedule may be altered during the test programme for example, due to the customer requesting a change to the scope of the approval or as a result of the product(s) being unable to meet the full test criteria. Details of the changes shall be recorded on the 'final' test schedule and in the test report.

13 The pCB provides a quotation to the customer.

14 Each aCB also provides a separate quotation* to the customer covering only the elements of the project that is assigned to them.

All CBs shall aim to send quotations to the customer as soon as possible.

*To abide by competition law each aCB must provide separate individual quotations derived without input from the other CBs.



15 Upon receipt of the quotations the customer can decide to accept or not. If accepted the pCB shall be notified by the customer and the certification process started. If the customer does not accept any or only some of the quotations, then discussions with the relevant CB(s) must take place to resolve the reasons for rejection.

16 The pCB is responsible for officially notifying the aCBs and ATLs that the customer has accepted the project and the certification process begins.

Note: The pCB does not have to wait for the acceptance of quotations from the aCBs in order to start the certification process.

17 As applicable the factory product audit process shall be initiated by the pCB. The inspection work required shall be performed in parallel with the product testing stages of the project such that the inspection report(s) can coincide with the delivery of the test reports.

18 The coordination plan between the involved CBs and ATLs is finalised together with any agreed adjustments to the test programme.

19 The customer submits the test samples in accordance with the requirements of the test programme. The customer is also required to provide technical support to the ATLs as and when necessary throughout the testing stages of the programme.

20 The primary Associated Testing Laboratory (pATL) performs the EN testing and the assessment of additional market requirements* as appropriate. The published test report(s) is sent to the pCB.

*The EFSG agreements are based on EN standards but some CBs may require additional tests to be performed that are not called up by the EN standards but reflect market requirements. The additional tests may be conducted during or after completion of the EN testing programme. Where applicable the customer will be required to send extra samples for testing to the additional requirements.

21 The additional Associated Testing Laboratories (aATL) undertake in parallel with step 20, the testing of any other specific additional market requirements as specified by the agreed test schedule.

All testing must be carried out to the satisfaction of the CB(s)

22 If non-conformities are identified during the testing they are to be processed by the primary CB/ATL. The primary CB/ATL shall determine the extent of the retesting necessary to demonstrate full compliance, informing the other CBs as appropriate. All necessary revisions of the test schedule shall be recorded by the primary CB.

It is important for the CBs/ATLs to correspond with each other to confirm that subsequent actions needed to resolve the non-conformities (e.g. product modification) at one ATL does not affect the final assessments of the others. If the final assessments are affected the pCB shall coordinate a further action plan to ensure the test requirements of all involved parties are met. This is likely to involve a revision to the test schedule and retesting.

Each ATL shall publish test results in a report that meets the criteria set out in the EFSG Agreement.

A summary of the non-conformities shall be provided in the test report together with a list of the technical documentation that identifies the product build status at the time of approval.



23 The pCB conducts a review and an assessment of the test report(s) and factory inspection results to confirm that the requirements of the test schedule relating to the EN standard and the additional requirements have been fulfilled.

The other CBs shall receive the final version of the test schedule, a copy of the published test report and the scope of the approval (as per the certificate) from the pCB/pATL. Each aCB shall conduct their own certification review process, see step 27.

The EN test findings/ published test report(s) is sent to the aCB(s).

24 The certification administration relating to the specification files, documentation recording and audit processes is completed and verified.

25 Correspondence with the customer confirms that the certification details (such as product marketing names and model numbers) are correct.

It remains the responsibility of the customer to inform all the CBs of the product build status, remembering also that the product build status may change following modification to resolve a non-conformity during testing.

26 Certificate issue and use of the pCB quality mark is granted.

27 The aCB conducts a review and an assessment the test and factory inspection results to confirm that the objectives related to the additional requirements have been fulfilled. If any issues are found during the review processes they will need to be resolved immediately between the pCB/pATL and all other aCBs involved and where necessary with the customer.

28 The certification administration undertaking by the aCB(s) relating to the specification files, documentation recording and audit processes is completed and verified. Correspondence with the customer confirms that the certification details are correct.

29 Certificate issue and the use of the aCB(s) quality mark(s) is granted. The release of the aCB(s) certificate(s) will occur after the certificate of the pCB is published.



Situation 3:

Applications made to obtain a quality marks after the product has been approved (after July 2014) by another EFSG member Certification body

KEY

Customer: **C**

Certification Body: **CB**

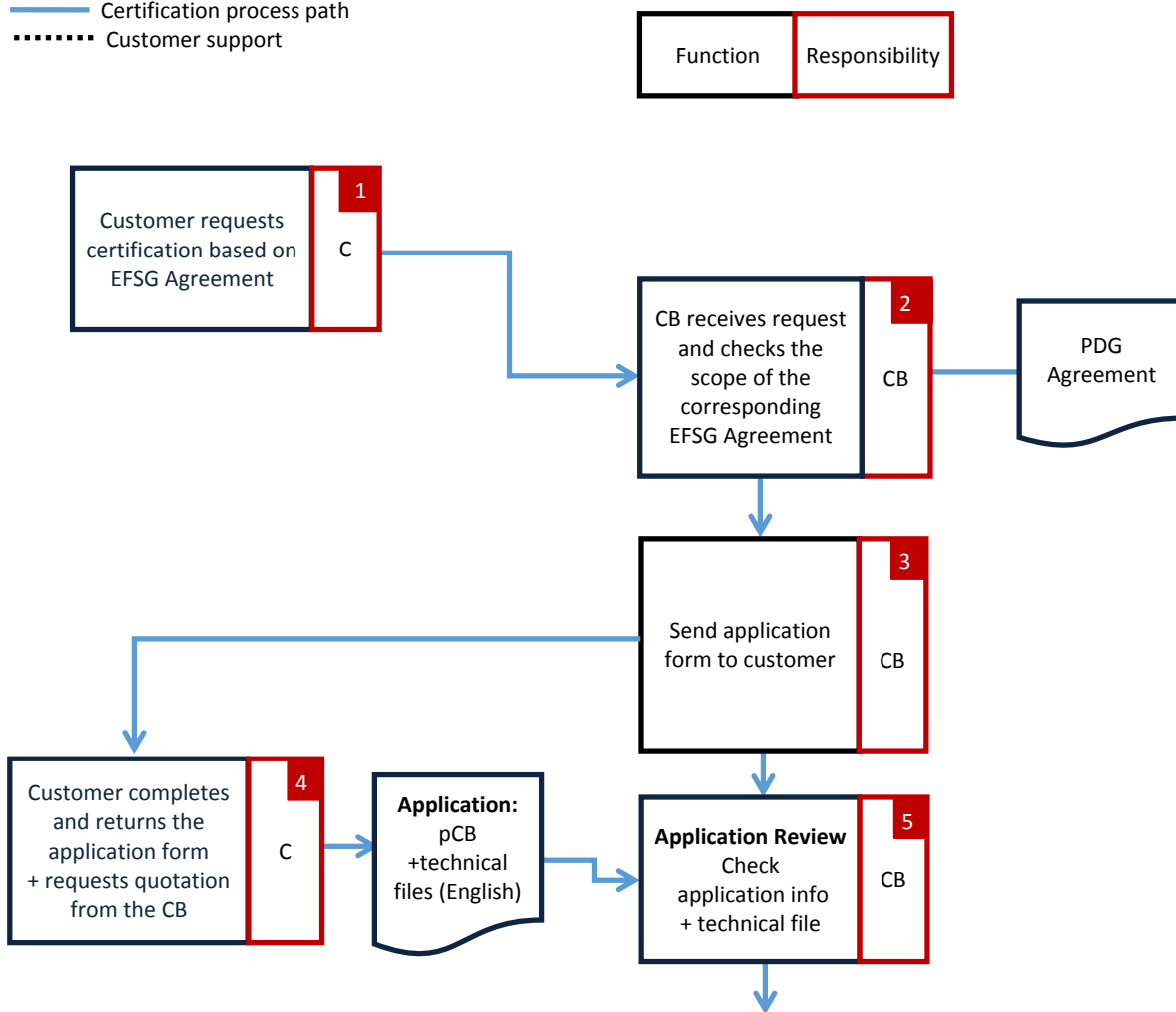
Additional Certification Body (one or more than one): **aCB**

Additional Associated Test Lab: **aATL**

Test programme: **list of tests to be performed**

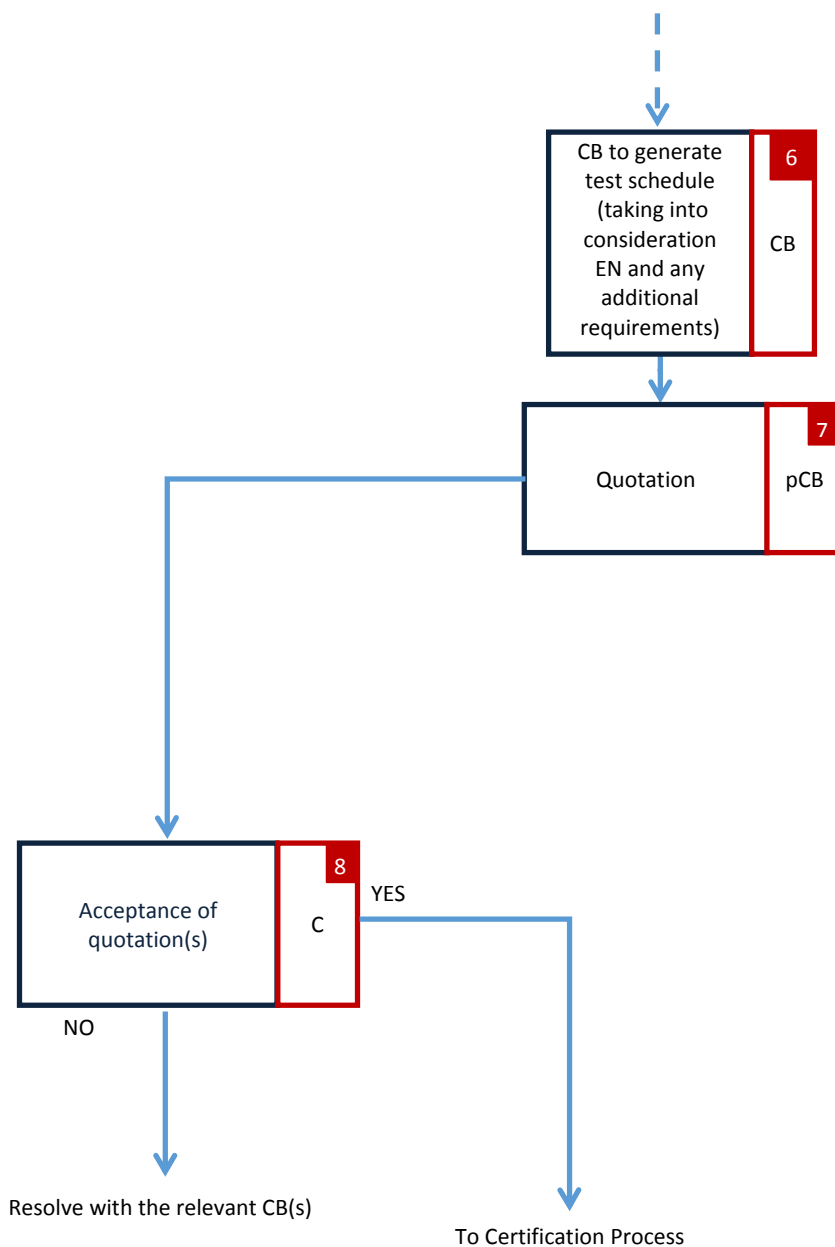
— Certification process path

..... Customer support



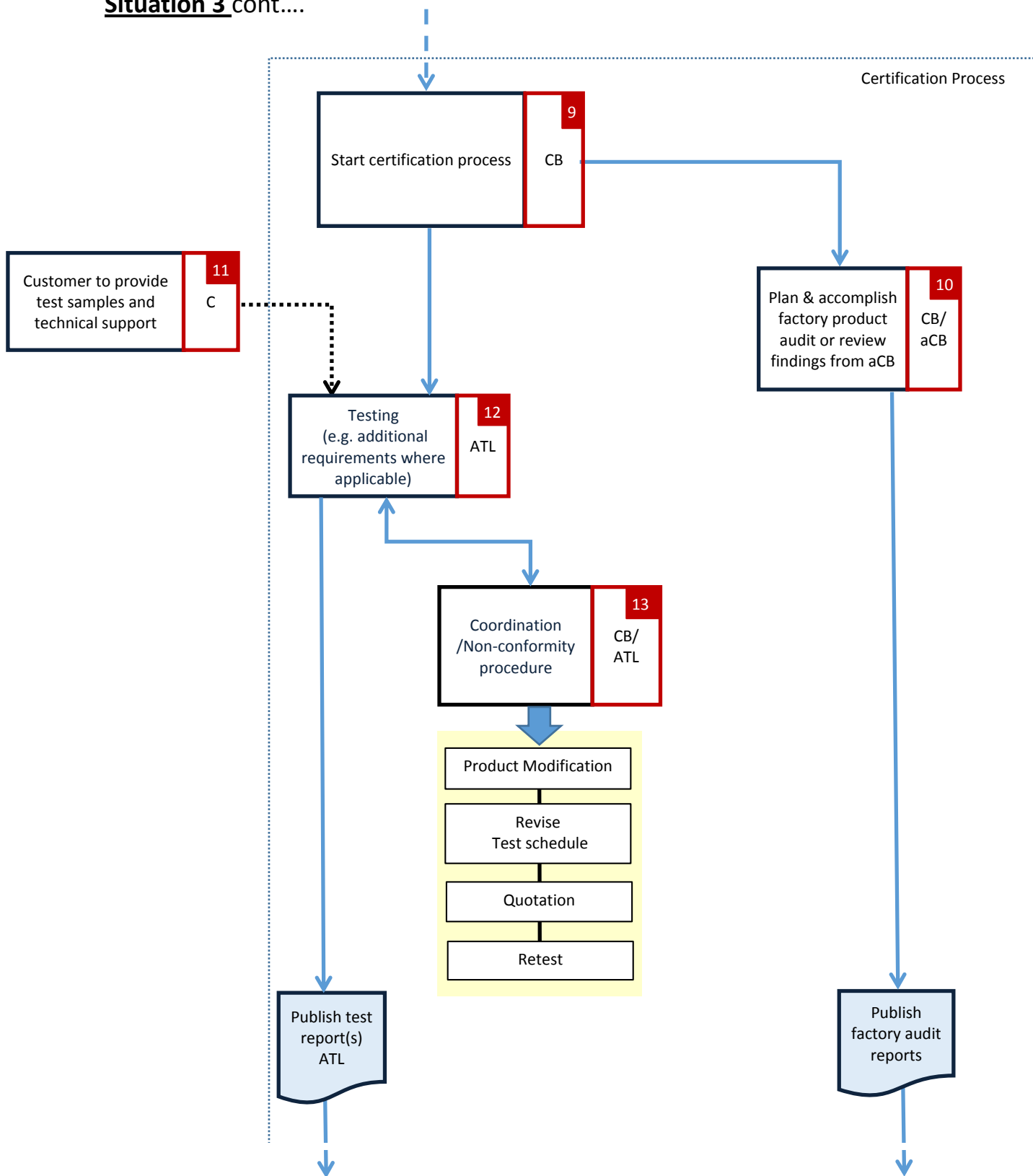


Situation 3 cont....





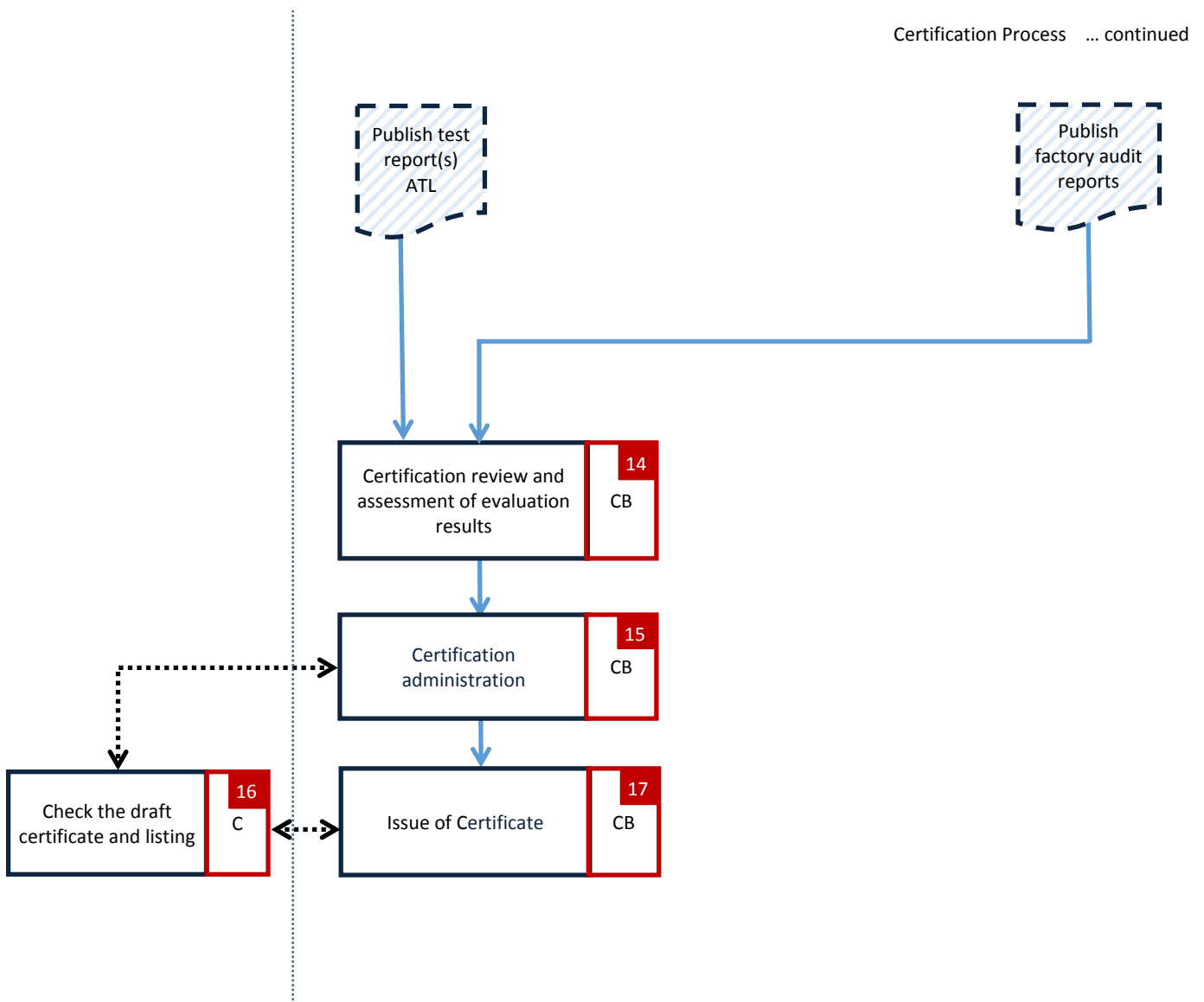
Situation 3 cont....





Situation 3 cont....

Certification Process ... continued





Situation 3 – Supporting Notes

Applications made to obtain a quality marks after the product has been approved (after July 2014) by another EFSG member Certification body

This route to certification is for new products that have previously been tested to the requirements of EN standards and where evidence of compliance for certification purposes is based upon tests performed after July 2014.

In the edition of the EFSG Agreement to which these supporting notes relate, the testing of additional market requirements is undertaken by the ATL operating in the market to which the requirements apply.

1 The customer has established a requirement to obtain a quality mark under the EFSG mutual acceptance agreement. The customer approaches the CB of choice.

2 The CB receiving the request checks that the products fall within the scope of the corresponding EFSG agreement.

The CB shall explain to customers that whilst EFSG members follow the principles set out in the EFSG Agreement wherever possible there is a risk that additional testing may be requested. For example, due to changes in the scope of the approval as a consequence of modifications made to the product(s) to resolve non-conformities identified during testing, or for any other unforeseen circumstance.

3 The CB sends an application form to the customer.

4 The customer completes and returns the application form along with copies of the product technical files. The technical files will usually be in electronic form and comprise of at least the following;

- A functional description of the product
- Circuit diagrams and part lists
- Final assembly drawings and part lists
- PCB artwork
- Software Code (where applicable)
- Instructions for use and installation
- Copies of previous test reports

The action of returning the application form initiates the quotation process.

5 The returned applications forms and the technical files are checked by the CB for completeness.

6 The CB (with support from the ATL) prepares the test schedule for the scope of the approval required, taking into consideration previous testing performed to the requirements of the EN standards and any other additional requirements.

7 The CB provides a quotation to the customer.

8 Upon receipt of the quotation the customer can decided to accept or not. If the customer does not accept, then discussions with the CB must take place to resolve the reason(s) for rejection.



9 Upon acceptance of the quotation the CB shall be notified by the customer and the certification process started.

10 As applicable the factory product audit process shall be initiated. The CB shall either undertake the inspection of the manufacturing facility or undertake a review of an inspection carried out by another CB (aCB) signatory to the relevant EFSG agreement.

Where an inspection is required the work shall be performed in parallel with the product testing stages of the project such that the inspection report(s) can coincide with the delivery of the test reports.

11 The customer submits the test samples in accordance with the requirements of the test programme. The customer is also required to provide technical support to the ATL as and when necessary throughout the testing stages of the programme.

12 The Associated Testing Laboratory (ATL) performs the testing as determined by the CB. Some testing to additional requirements may be necessary. These reflect market requirements that are not called up by the EN standards. .

All testing must be carried out to the satisfaction of the CB.

The published test report(s) is sent to the CB.

13 If non-conformities are identified during the testing they are to be processed by the CB/ATL. The CB/ATL shall determine the extent of the retesting necessary to demonstrate full compliance.

Where the product is changed in order to attain full compliance, the customer shall be made aware of the responsibility to notify the other certification bodies (aCBs) with which the customer has approval, that the product has been changed. Alternatively, notification can be undertaken by the CB provided the prior consent of the customer has been obtained.

A summary of the non-conformities shall be provided in the test report together with a list of the technical documentation that identifies the product build status at the time of approval.

14 The CB conducts a review and an assessment of the test report(s) and factory inspection results to confirm that the requirements of the test schedule relating to the additional requirements have been fulfilled.

15 The certification administration relating to the specification files, documentation recording and audit processes is completed and verified.

16 Correspondence with the customer confirms that the certification details (such as product marketing names and model numbers) are correct.

It remains the responsibility of the customer to inform all the CBs of the product build status, remembering also that the product build status may change following modification to resolve a non-conformity during testing.

17 Certificate issue and use of the CB's quality mark is granted.



Situation 4:

Applications made based on product approvals undertaken to EFSG Agreements dates pre-July 2014 (Historic projects)

KEY

Customer: **C**

Primary Certification Body: **pCB**

Additional Certification Body (one or more than one): **aCB**

Primary Associated Test Lab: **pATL**

Additional Associated Test Lab: **aATL**

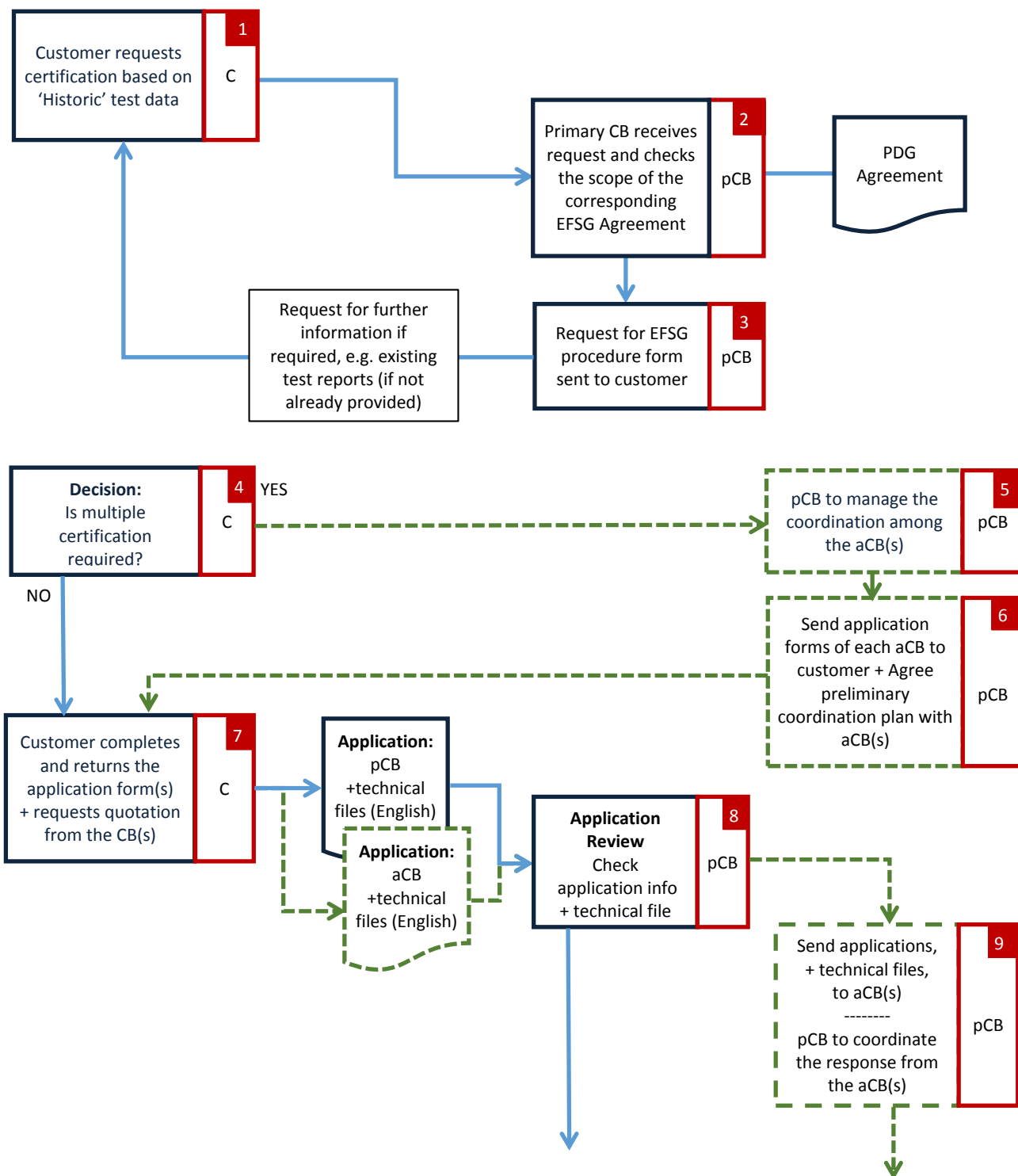
Test programme: **list of tests to be performed**

— Certification process path

- - - - - Required for multiple certification

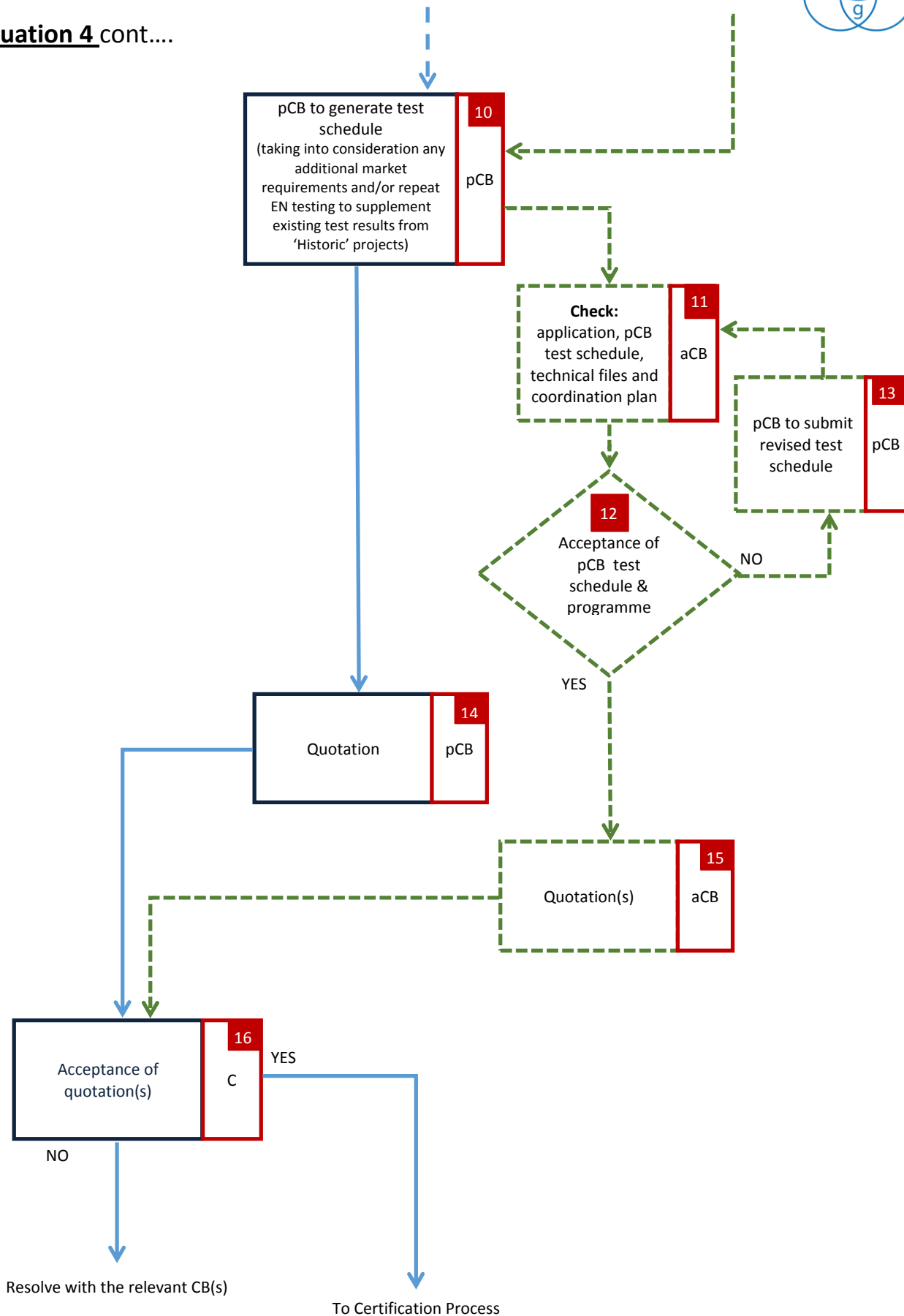
..... Customer support

Function	Responsibility
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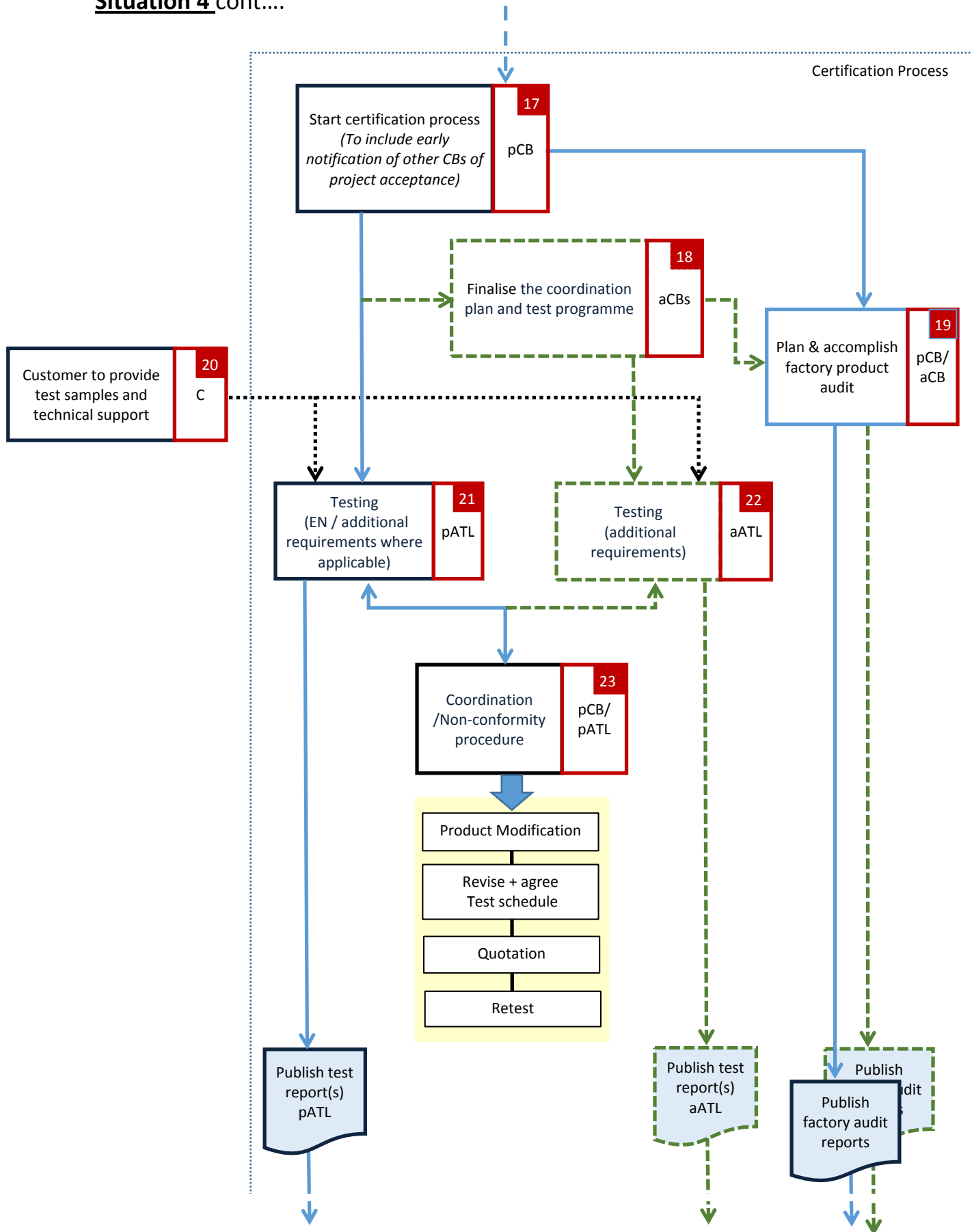


Situation 4 cont....



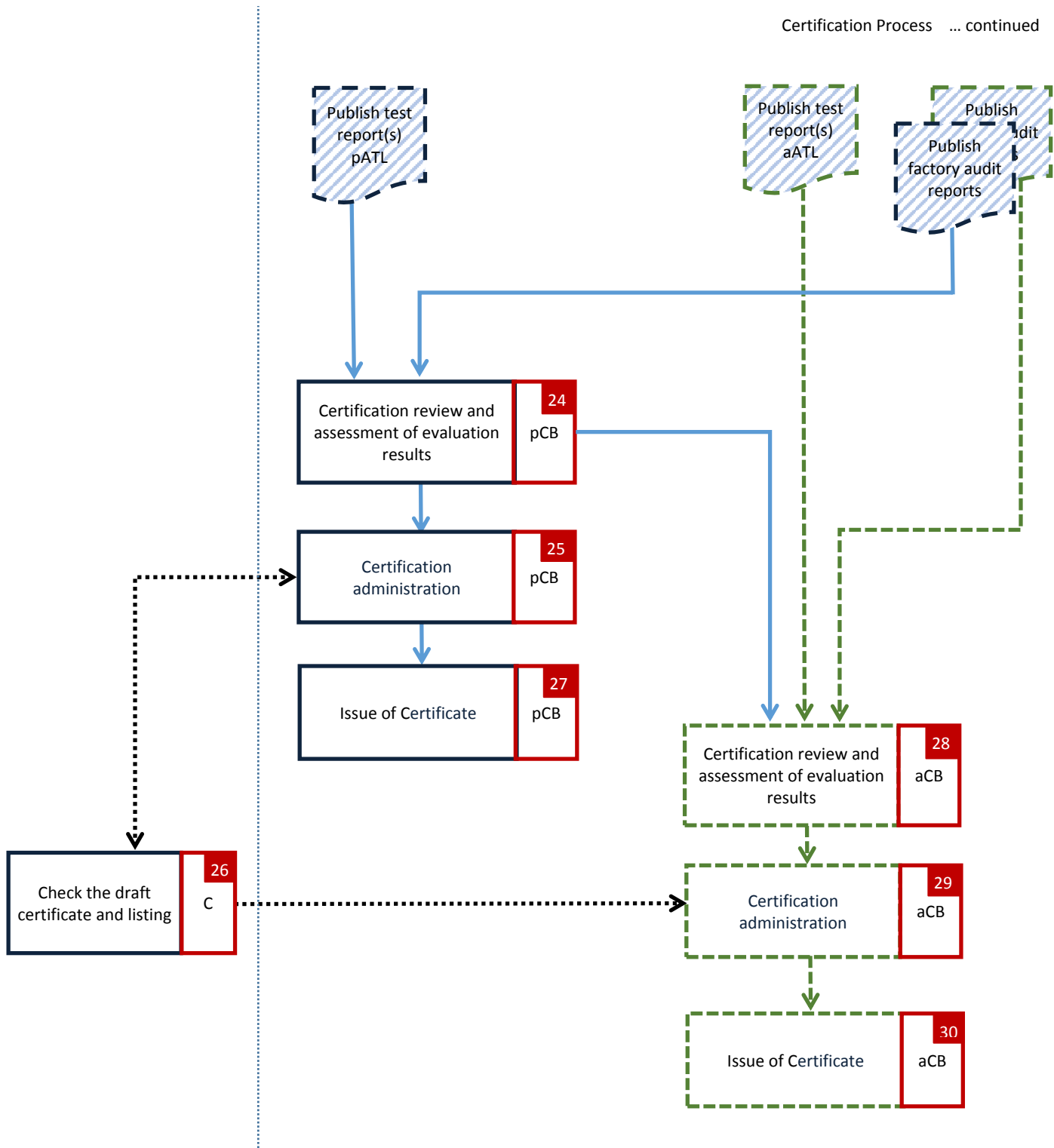


Situation 4 cont....





Situation 4 cont....





Situation 4 - Supporting Notes

Applications made based on product approvals undertaken to EFSG Agreements dates pre-July 2014 (Historic projects)

This route to certification is for new or updated products that previously had been tested to the requirements of EN standards and where evidence of compliance for future certification purposes could be based upon historic test data.

In the edition of the EFSG Agreement to which these supporting notes relate, the testing of additional requirements is normally undertaken by the ATL operating in the market to which the requirements apply. However, with the prior agreement of the appropriate CB the testing of additional requirements can be performed by any ATL.

1 The customer has established a requirement to obtain one or more quality marks under the EFSG mutual acceptance agreement based on the results of testing performed prior to July 2014. The customer approaches the CB of choice. The choice normally being determined by the quality mark that the customer wishes to obtain.

2 The CB to receive the request adopts the role of Primary CB (pCB) and checks that the products fall within the scope of the corresponding EFSG agreement.

The pCB shall explain to customers that whilst EFSG members work to an agreed test programme, there is a risk that additional testing may be requested by the aCBs. For example, due to changes made to the product(s) since the original type testing was performed, or for any other unforeseen circumstance.

3 The pCB sends a 'Request for EFSG procedure' form (*form ref No.FS-100-EFSG*) to the Customer. When completed this form permits the pCB to contact the additional CBs (aCB) to inform them about project and share information. The pCBs application form for certification is also sent to the customer.

At this stage there may be a request from the pCB to the customer for further information, for example, copies of existing test reports as these will help the pCB determine the extent of the test programme needed for certification purposes.

4 The customer decides if more than one quality mark is required and completes and returns the 'Request for EFSG procedure' form and the application form. If multiple certification is not required the process moves to step 7 and follows the blue line route.

5 The pCB completes the 'coordination plan' (*form ref No.FS-103-EFSG*) and continues to manage the coordination of the additional CBs, ensuring their application forms and any other relevant information is available to send to the customer.

6 The pCB sends all application forms to the customer.

It is necessary for the customer to enter into contract with each CB whose quality mark is sought. This requires the customer to make individual applications to the CBs. To assist the customer the pCB may agree to complete duplicate information fields once the initial information has been provided by the customer.



7 The customer completes and returns the application forms along with copies of the product technical files. The technical files will usually be in electronic form and comprise of at least the following;

- A function description of the product
- Circuit diagrams and part lists
- Final assembly drawings and part lists
- PCB artwork
- Software Code (where applicable)
- Instructions for use and installation

One set of technical files is required for each CB. (n.b. If in electronic form the data can be distributed to all aCBs from a single file). The action of returning the application forms initiates the quotation process.

The pCB will offer the customer advice where needed to complete the applications.

8 The pCB checks the returned applications forms and the technical files for completeness.

9 If multiple certification is required the relevant application forms and technical files are forwarded to the aCBs. It is the responsibility of the pCB to coordinate the responses from each aCB. Information obtained through this correspondence will enable the pCB to prepare the test schedule.

10 The primary CB (with support from the ATL) prepares the test schedule for the scope of the approval required, taking into consideration the historic test results*, EN requirements not previously covered (if applicable) plus other additional market requirements including those required by the aCBs. The test schedule is sent to all other CBs for their comments/acceptance. All CBs shall aim to reply as soon as possible.

*The CBs will consider the use of historic test results on a case by case basis. Where possible every attempt will be made to accept the results of tests made before July 2014 where the test methods have been assessed by inter-laboratory comparison exercise, unless significant differences in the methods and subsequent results pre July 2014 were identified.

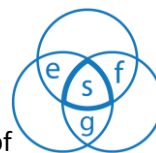
11 Each aCB checks the test schedule proposed by the pCB and reviews the technical file and coordination plan.

12 If an aCB requires changes to the proposed test schedule, the aCB must notify the pCB in writing giving details of the changes. Otherwise pCB is notified that the test schedule and subsequent test programme is accepted.

13 The pCB submits a revised test schedule to all aCBs. The sequence of steps 10, 11 and 12 is followed until all aCBs are able to accept the test schedule.

The content of a test schedule may be altered during the test programme for example, due to the customer requesting a change to the scope of the approval or as a result of the product(s) being unable to meet the full test criteria. Details of the changes shall be recorded on the 'final' test schedule and in the test report.

14 The pCB provides a quotation to the customer.



15 Each aCB also provides a separate quotation* to the customer covering only the elements of the project that is assigned to them.

All CBs shall aim to send quotations to the customer as soon as possible.

*To abide by competition law each aCB must provide separate individual quotations derived without input from the other CBs.

16 Upon receipt of the quotations the customer can decide to accept or not. If accepted the pCB shall be notified by the customer and the certification process started. If the customer does not accept any or only some of the quotations, then discussions with the relevant CB(s) must take place to resolve the reasons for rejection.

17 The pCB is responsible for officially notifying the aCBs and ATLs that the customer has accepted the project and the certification process begins.

Note: The pCB does not have to wait for the acceptance of quotations from the aCBs in order to start the certification process.

18 The coordination plan between the involved CBs and ATLs is finalised together with any agreed adjustments to the test programme.

19 As applicable the factory product audit process shall be initiated by the pCB. The inspection work required shall be performed in parallel with the product testing stages of the project such that the inspection report(s) can coincide with the delivery of the test reports.

20 The customer submits the test samples in accordance with the requirements of the test programme. The customer is also required to provide technical support to the ATLs as and when necessary throughout the testing stages of the programme.

21 The primary Associated Testing Laboratory (pATL) performs the testing and the assessment of additional market requirements* as appropriate. The published test report(s) is sent to the pCB.

*The EFSG agreements are based on EN standards but some CBs may require additional tests to be performed that are not called up by the EN standards but reflect market requirements. The additional tests may be conducted during or after completion of the EN testing programme. Where applicable the customer will be required to send extra samples for testing to the additional requirements.

22 The additional Associated Testing Laboratories (aATL) undertake in parallel with step 21, the testing of any other specific additional market requirements as specified by the agreed test schedule.

All testing must be carried out to the satisfaction of the CB(s)

23 If non-conformities are identified during the testing they are to be processed by the primary CB/ATL. The primary CB/ATL shall determine the extent of the retesting necessary to demonstrate full compliance, informing the other CBs as appropriate. All necessary revisions of the test schedule shall be recorded by the primary CB.

It is important for the CBs/ATLs to correspond with each other to confirm that subsequent actions needed to resolve the non-conformities (e.g. product modification) at one ATL does not affect the final assessments of the others. If the final assessments are affected the pCB shall coordinate a



further action plan to ensure the test requirements of all involved parties are met. This likely to involve a revision to the test schedule and retesting.

Each ATL shall publish test results in a report that meets the criteria set out in the EFSG Agreement.

A summary of the non-conformities shall be provided in the test report together with a list of the technical documentation that identifies the product build status at the time of approval.

24 The pCB conducts a review and an assessment of the test report(s) and factory inspection results to confirm that the requirements of the test schedule relating to the additional requirements have been fulfilled.

The other CBs shall receive the final version of the test schedule, a copy of the published test report and the scope of the approval (as per the certificate) from the pCB/pATL. Each aCB shall conduct their own certification review process, see step 28.

The EN test findings/ published test report(s) are sent to the aCB(s).

25 The certification administration relating to the specification files, documentation recording and audit processes is completed and verified.

26 Correspondence with the customer confirms that the certification details (such as product marketing names and model numbers) are correct.

It remains the responsibility of the customer to inform all the CBs of the product build status, remembering also that the product build status may change following modification to resolve a non-conformity during testing.

27 Certificate issue and use of the pCB quality mark is granted.

28 The aCB conducts a review and an assessment the test and factory inspection results to confirm that the objectives related to the additional requirements have been fulfilled. If any issues are found during the review processes they will need to be resolved immediately between the pCB/pATL and all other aCBs involved and where necessary with the customer.

29 The certification administration undertaking by the aCB(s) relating to the specification files, documentation recording and audit processes is completed and verified. Correspondence with the customer confirms that the certification details are correct.

30 Certificate issue and the use of the aCB(s) quality mark(s) is granted. The release of the aCB(s) certificate(s) will occur after the certificate of the pCB is published.



Situation 5:

Applications made based on modification of an approved product

KEY

Customer: **C**

Certification Body: **CB**

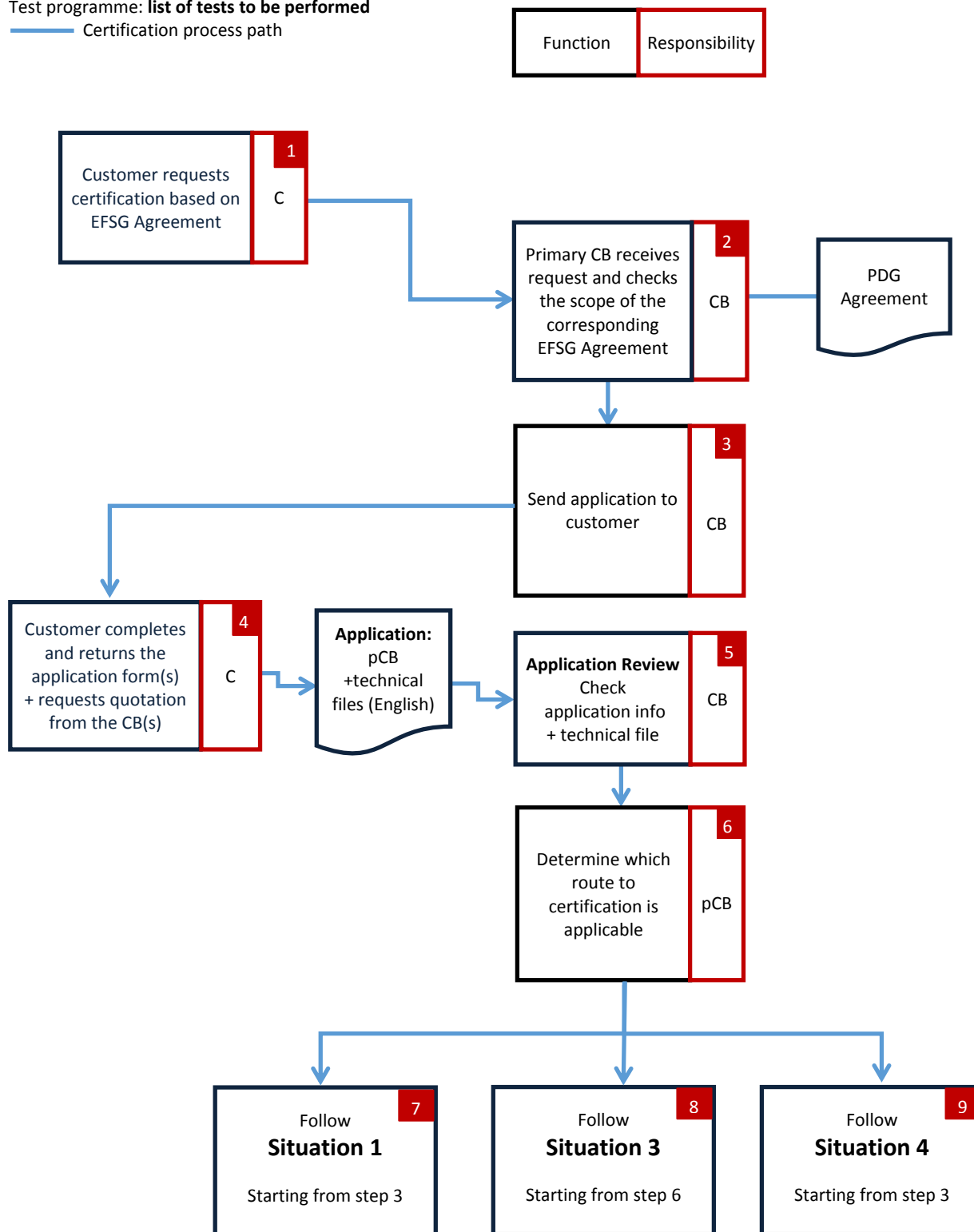
Additional Certification Body (one or more than one): **aCB**

Primary Associated Test Lab: **pATL**

Additional Associated Test Lab: **aATL**

Test programme: **list of tests to be performed**

— Certification process path





Situation 5 – Supporting Notes

Applications made based on modification of an approved product

This route to certification is for customers requiring a quality mark for a product that is already approved under an EFSG agreement but the product has been modified after the initial type testing was performed.

1 The customer has established a requirement to obtain a quality mark under the EFSG mutual acceptance agreement. The customer approaches the CB of choice.

2 The CB receiving the request checks that the product continues to fall within the scope of the corresponding EFSG agreement.

The CB shall explain to customers that whilst EFSG members work to an agreed test programme, there is a risk that additional testing may be requested. For example, due to changes in the scope of the approval as a consequence of the modifications made to the product(s) or to resolve non-conformities identified during testing, or for any other unforeseen circumstance.

3 The CB sends an application form to the customer.

4 The customer completes and returns the application form along with copies of the product technical files. The technical files will usually be in electronic form and comprise of at least the following;

- A functional description of the product
- Circuit diagrams and part lists
- Final assembly drawings and part lists
- PCB artwork
- Software Code (where applicable)
- Instructions for use and installation
- Copies of previous test reports

5 The returned applications forms and the technical files are checked by the CB.

6 It is the responsibility of the CB to determine which of the four routes to certification (Situations 1-4) is applicable. The CB shall review a copy of the published test report and the scope of the approval (as per the certificate) from the initial approval together with information about the modification(s).

Where the review concludes that due to the modification(s) further testing is necessary the process defined in Situation 1 shall be followed, **[7]**. Otherwise the process of Situation 3 **[8]** shall be followed, unless the existing approval is categorised as a 'historic project', in which case the process of Situation 4 applies **[9]**.