

	<b>OPERATIONAL DOCUMENT</b>	<b>ECS 009</b>
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## ECS scopes

**Draft**

Add wording on Issue of Certification of Acceptance

Operation possible after Board acceptance for new additional TLs

Approved by:	MCCB <del>Members by correspondence</del> 2023	No. of pages: 8
Date of issue:	April 2023	
Supersedes:	OD ECS 009 – <del>October 2022</del> April 2019	Page 1 of 8

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# ECS SCOPES

## 1 About this document

This document is intended to provide information and specify instructions concerning the continuous maintenance of scopes.

Scopes concerned are:

- the scope of a certification Scheme (see 3.1)
- the scope of a CB, as member of a certification Scheme (see 3.2)
- the scope of a participating TL (see 3.3)

The scope of an organisation is a basic description of the activity of that organisation. For ECS purposes, this is done by referencing the standards used for testing and certification.

Standards change regularly, and so do certification Schemes change their scopes on a regular basis. Scheme members change their activities following market needs.

This dynamic requires a flexible but reliable approach, as described in this document.

## 2 Definitions for this document

Standards: European Harmonization Documents (HD) and European Norms (EN) concerning electrical products, relevant for one or more of the European Certification Schemes.

Product Category: groups of electrical products for which a specified list of standards applies.

Scope: a list of specified standards, or a list of product-types with references to standards, within a certain context.

Note: Standards are identified by their number and the year of publication; amendments are not considered relevant for the definition of a scope.

Scope of a Certification Scheme: scope defined as applicable for a certain Scheme.

Scope of a Certification Body (CB): scope for which a CB has been accepted as a member of a Scheme, by demonstrating that it has the required capabilities to certify products against the specified standards.

Scope of a Testing Laboratory (TL): scope for which a TL has been accepted as a participant, by demonstrating that it has the required capabilities to test products against the specified standards.

Note: Specific standards may be listed in one or more Scheme scopes (e.g., CCA and ENEC). Conditional to membership (CBs) or participation (TLs), standards will be listed automatically in all relevant scopes.

Standards Database: registration method for applicable standards and scopes, published on the ETICS website, accessible to all members.

IAR, EAR, RAR: Report of respectively Initial Assessment, Extension Assessment, Re-Assessment (OD ECS 074 for CBs and OD ECS 075 for TLs).

Declaration of Experience (DoE): declaration of certification and/or testing experience as the basis for the assessment of the capabilities of an organisation and its future scope once it is accepted as a member (OD ECS 098).

**Claim of Capability (CoC):** scope extension request for additional Part 2 standards or new standards falling under a Product Category for which the requesting CB/TL has already been accepted but cannot provide evidence of sufficient testing/certification experience over the previous two years, i.e. standards that are not covered by accreditation or that are not included in the scope of the NCB/CBTL in the IECEE CB Scheme (OD ECS 099-1).

**Administrative Scope Extension (ASE):** scope extension based on prior acceptance for the IECEE CB Scheme (OD ECS 099-2).

**Scope Extension based on Accreditation (SEA):** administrative scope extension granted to a CB/TL on the basis of a valid accreditation issued by an Accreditation Body who is member of IAF - International Accreditation Forum / ILAC - International Laboratory Accreditation Cooperation (OD ECS 099-3).

### 3 Scopes

#### 3.1 Scopes of Certification Schemes

The following scopes have been defined:

Scheme	Document	Comments	Proposals by	Decision
ENEC	PD ENEC 301 Annex B	list of standards and relevant notes and particulars	According to PD ENEC 306	New standards: No decision required New Product Category: ¼ (25%) of ENEC Signatories shall be in favour New area of activity: ½ (50%) of ENEC Signatories shall be in favour
ENEC+	PD ENEC 301 Annex F	list of standards and relevant notes and particulars	According to PD ENEC 306	New standards: Board of Directors New Product Category: ENEC+ Group members
CCA	PD CCA 210 clause 1.3	Any CENELEC standard	Member of CCA	Signatories of CCA Agreement
CCA-EMC	OD CCA-EMC 501 Annex B	list of standards	Anyone	Board of Directors

##### 3.1.1 Proposals to extend the European Schemes shall address:

- the number and title of the standard(s), including the dates dor and dow
- starting date for the extension
- Testing Equipment List
- Test Report Form

**3.1.2** Proposals to extend the ENEC and ENEC+ Schemes shall address, in addition to the list referred to in 3.1.1:

- Routine test requirements for products (PD ENEC 303)
- QMS qualification criteria for manufacturers (PD ENEC 308)
- Licence contents (OD ENEC 321)
- Product surveillance (OD ENEC 324)

Note: The detailed procedure for extending the scope of the ENEC Scheme is provided in OD ENEC 306 – “Scope extension of ENEC and for the following extension of the scope of CBs and TLs”.

### **3.2 Scope of a CB, as member of a Certification Scheme**

CBs may apply for Scheme membership for specific standards, selected from the Scheme scopes as indicated in 3.1. Upon establishment of compliance with relevant requirements (see 4. below) these standards will be listed as the scope of that CB.

### **3.3 Scope of a participating TL**

CBs may apply for participation of TLs for specific standards, selected from the Scheme scopes as indicated in 3.1. Upon establishment of compliance with relevant requirements (see 4. below) these Standards will be listed as the scope of that TL.

TLs operate under the responsibility of a specific CB. It is therefore not possible for a TL to have standards listed in its scope which are not listed in the scope of the CB that carries responsibility.

#### For ENEC+ Scheme

In ENEC+, a TL is allowed to work for more than one CB under the condition that a TL shall not be permitted to address a test report for the same model to more than one CB.

## **4 Requirements for CBs and TLs for standards in their scope(s)**

See PD ECS 050, PD ECS 051 and HAR PD 3 for general requirements and all ECS and Scheme Operational and Permanent Documents for specific requirements.

An overview of technical requirements is provided in Annex A.

## **5 Establishment of scopes for CBs and TLs**

See PD ECS 050, and HAR PD 3 for general procedures.

An overview of the process is provided in Annex B.

## **6 Applications for scope extension of CBs and associated TL(s) to additional Part 2 standards or new standards presented within 1 year from the extension of the ENEC or ENEC+ scope to these standards.**

Applications for scope extension of CBs and associated TL(s) presented within 1 year from the extension of the ENEC or ENEC+ scope to the same standards, will be treated according to the provisions defined by PD ENEC 306 - Part II.

The provisions defined in this operational document and those in the documents OD ECS 050 and OD ECS 051 will be applied to applications submitted after the transition period defined above.

## **7 Responsibilities**

CBs and TLs are responsible for compliance with relevant requirements for all standards within their scopes.

Assessors and assessment teams are responsible for the verification of compliance with requirements.

The ETICS Technical Officer (TO), seconded by the Board of Directors is responsible for the review of the assessment reports, CoCs, ASE and SEA forms.

The decision on the recognition of an additional product category to a CB or a TL, already member of a specific Scheme, will be taken by the ETICS Board of Directors.

The ETICS TO is responsible for reviewing all documents related to Claims of Capability, Administrative Scope extensions and Scope Extension based on Accreditation and for the resulting decision on the recognition of the additional standards to a CB or a TL.

The review of an application for scope extension may require the involvement of an independent expert as indicated in Annex B.

The ETICS Secretariat is responsible for the up-to-date registration and publication of scopes of CBs and TLs in the Standards Database.

The CBs are responsible for keeping the accreditation data updated of their associated TLs in the ETICS Standards Database, which can be consulted on the ETICS website.

This task can be managed based on the following two options:

- a. A CB's representative is appointed to enter the accreditation data relevant to all TLs associated with the CB.
- b. One person is also appointed by each TL associated with the CB to enter the relevant accreditation data.

## **Annex A Requirements for CBs and TLs for standards in their scope(s)**

### **A1 General**

See PD ECS 050 for general requirements and all ECS and Scheme Operational and Permanent Documents for specific requirements. A general overview of technical requirements is provided below.

### **A2 Certification Bodies (CBs, member organisations)**

CBs shall have available:

- a. The latest edition of relevant standards.
- b. Knowledge, understanding and experience of use and interpretation of relevant standards and related test reports.

### **A3 Testing Laboratories (TLs associated with a CB)**

TLs shall have available:

- a. The latest edition of relevant standards.
- b. All measuring and test equipment required by relevant standards.
- c. Knowledge, understanding and experience of use and interpretation of relevant standards and measuring and test equipment.
- d. Experience of use of relevant test reports.

### **A4 Criteria**

The criteria for the level of knowledge, understanding and experience of use and interpretation of relevant standards and measuring and testing equipment are specified as follows:

- a. Operation of a well-established certification Scheme for the relevant standards during more than three years.
- b. The issue of at least 10 test reports (TL) or certificates (CB) for each relevant product category during the last two years.
- c. The issue of at least one test report (TL) or certificate (CB) for each relevant specific Part 2 standard.

In the event of a change of an existing standard, without the change of the number and title of this standard, it will be assumed that the change will not result in a possible non-conformity with the requirements and subject standard will remain to be listed in all scopes.

## Annex B Establishment of scopes of CBs and TLs

New members		Existing members				
Initial membership scope	Changes of scopes					
	Addition of a Scheme membership	Addition of a Product Category	Addition of standards			Deletion of standards
			Claim of Capability	Administrative Scope Extension	Scope Extension based on Accreditation	
Declaration of Certification and Testing Experience (OD ECS 098)		OD ECS 099-1	OD ECS 099-2	OD ECS 099-3	At the request of the CB to the Secretariat	
Assessment by ECS Registered Assessors						
IAR	IAR	EAR	Expert review and decision on the need for an on-site assessment	Expert review		
TO review		TO review	TO review and decision			
Registration in the Standards Database (ETICS secretariat)					Deletion from Standards Database by ETICS Secretariat	
BoD review		BoD decision	NA			
BoD decision for TLs		Secretariat report to BoD and to MCCB Meeting			NA	
BoD proposal to MCCB for CBs						
MCCB endorsement on TLs MCCB decision on CB						
Issue Certificate of Acceptance		NA				