GENERAL REQUIREMENTS

FOR THE EMIRATES CONFORMITY ASSESSMENT SCHEMES
1. INTRODUCTION

This document specifies the rules for the implementation of registration of mandatory and voluntary products under the Emirates Conformity Assessment Schemes as required under the Federal Law No. 28 and as required by the IECEE 02 Rules of Procedure of the IECEE CB Scheme for Mutual Recognition of Test Certificates for Electrotechnical Equipment and Components (CB Scheme) to ensure that products that affect the life, health and safety of consumers and the environment and products that may affect the economy of the country are complying with the relevant UAE or its adopted or recognized Standards such as IEC standards.

Suppliers and manufacturers of mandatory and voluntary products under ECAS shall comply with this requirement before such product is registered and/or certified under the IECEE CB Scheme.

2. SCOPE

This document is applicable to all products which have been identified by any Ministerial Cabinet decision to be considered as mandatory product. Voluntary Standards can also use this requirement whenever a trader or manufacturer wanted their product to be registered by ESMA and/or to be certified under IECEE CB Scheme.

3. DEFINITION OF TERMS

For the purpose of this document, the following definitions shall apply:

3.1 ESMA- Emirates Authority for Standardization and Metrology, the Federal Standards Body of the UAE mandated to implement the registration, CB certification and monitoring of products through the Emirates Conformity Assessment Schemes.

3.2 Product - refers to all the products covered by these ECAS General requirements

3.3 Initial Testing (or Type Testing)- refers to the verification of product conformance to a specified Technical Requirements prior to the Registration of the Product
3.4 Technical Requirements – a document specifying the set of rules in implementing these General Requirements to be met by a specific product

3.5 ECAS Registration Certificate – a certificate issued by ESMA indicating that a product is conforming to an Approved Standard.

3.6 Emirates Quality Mark– An approved mark by ESMA indicating conformity of product to an Approved Safety Standard. It is granted to an approved product once requested by the client

3.7 Approved Standard – refers to a Product Standard approved by ESMA to be used in verifying conformity of a product.

3.8 Recognized Conformity Assessment Body- a competent body recognized by ESMA to carry out factory inspection and/or testing of product.

3.9 Approved Supplier – a trader or manufacturer responsible for the Registered Product.

4. BASIC CONDITIONS FOR REGISTERING / CB CERTIFICATION OF PRODUCTS

4.1 Locally manufactured or imported products and the company responsible to the product shall register and comply with this General Requirements and the relevant approved standard for the product to be registered under the Emirates Conformity Assessment Schemes.

4.2 It is the responsibility of the Manufacturer for locally manufactured product or the importer for the imported products to register the product/s to ESMA.

5. APPLICATION.

5.1 Documents required to be submitted for Registration of Products

5.1.1 Application Form. Application from an applicant other than the manufacturer shall be signed by both the applicant and the manufacturer of the product. By signing the application form, the applicant and the manufacturer agrees to comply with these General Rules and with the Specific Product Standard for the product covered by Registration / CB Certification
5.1.2 Separate applications shall be submitted for each product type or group of products that refers to a different Product Standard.

5.1.3 Valid Trade / Industrial License issued by relevant Authorities

5.1.4 Location Map of the company and its warehouse where the product is stored.

5.1.5 Form of undertaking of responsibility and accountability to comply with the requirements of the Emirates Conformity Assessment Schemes.

5.1.6 Quality Manual, Quality Plan and other documents as required by the specific scheme.

5.1.7 Exclusive Distributorship authorization from the manufacturer or owner of the product.

5.1.8 Set of Samples of product for registration. Sampling has to be conducted by ESMA authorized personnel

6. CONFORMITY ASSESSMENT OF PRODUCT

6.1 Upon acceptance of the Application form and all the necessary documents, ESMA shall make carry out a conformity assessment based from the identified scheme for a particular product as per Annex 1.

6.2 Assessment, Testing and Evaluation of product shall be conducted by ESMA or its recognized conformity assessment bodies.

7. REGISTRATION OF PRODUCT

7.2 When the results of conformity assessment demonstrate that the relevant requirements are met, ESMA shall issue an ECAS Registration Certificate to the product.

7.3 The ECAS Registration Certificate shall serve as an approval of the product and can be used by the trader in marketing their registered product.

7.4 Registration Certificate is not transferable and is valid only for the product being evaluated and manufactured in a particular facility.
7.5 The Registration Certificate shall be valid for 1 year subject to renewal.

8. EXTENDING THE SCOPE OF REGISTRATION.

8.1 A registered supplier can extend the Registration to other types or models of products made in the same factory to the same Technical Regulation. In cases like this, ESMA shall decide a product shall undergo Conformity Assessment or is waived for a particular model.

Other products being manufactured in the same factory shall be treated independently.

9. SURVEILLANCES

9.1 Registered Products are subjected to an annual surveillance visit and or monitoring to ensure that the product is consistently complying with the defined Technical Regulations. Surveillance visit may include factory assessment and product testing to be conducted by ESMA and/or its registered Conformity Assessment Bodies.

ESMA shall prepare a market-monitoring plan to verify that only Registered Products are being sold in the market and that the registered products shall be complying with the relevant Technical Regulations. The market monitoring involves a random inspection of the items at point of sale and/or at the warehouse. Samples shall be withdrawn during monitoring for further testing if necessary.

11. ECAS Certificate

11.1 After obtaining the Registration Certificate, the approve supplier has the right to use the ECAS Certificate in promoting the registered product.

11.4 The ECAS Certificate is the exclusive property of the UAE Government entrusted to ESMA. Its correct use is a contractual obligation. Intentional misuse of the Certificate maybe grounds for corrective actions that may include withdrawing the Registration.

12. PUBLICITY FOR REGISTERED PRODUCTS

12.1 ESMA shall maintain and publish a List of Registered Products.
12.2 Suppliers of Registered Products have the right to publish, advertise that registration has been granted. However, care should be taken so that there shall be no confusion between registered and non-registered products.

13. SUSPENSION, WITHDRAWAL AND CANCELATION OF REGISTRATION

13.1 Registration may be suspended if surveillance shows non-conformance with the requirements of such nature that immediate withdrawal is not necessary such as:

13.1.1 Defects detected in the product caused by temporary disturbance in the production process

13.1.2 Improper use of Certificate that is not solved by remedial measures by the supplier of the registered product

13.1.3 Mutual agreement between ESMA and the Supplier for whatever reason.

The suspension shall be lifted upon satisfactory implementation of the corrective action(s).

13.2 Registration may be withdrawn permanently under the following conditions:

13.2.1 The product defect is not corrected within the agreed period.

13.2.2 ECAS Certificate is being used for the unregistered products

13.2.4 Failure of the supplier to settle financial obligation to ESMA

13.2.5 Inadequate corrective actions taken to rectify the reasons for suspension

13.3 Registration can be canceled if:

13.3.1 Registration is terminated by the Supplier

13.3.2 The standard or rules are changed and the Supplier cannot ensure compliances with the new requirements.

13.3.3 Product is no longer produced or if the supplier goes out of business.
13.4 Upon suspension, withdrawal or cancellation of Registration.

13.4.1 If required, the Supplier shall inform its clients about the non-conformities in the products.

13.4.2 The Approved suppliers shall take all the necessary steps to ensure that all interested parties are not misled to believe that the Registration has not been suspended, withdrawn or cancelled.

14. APPEALS

14.1 The applicant or the Approved Supplier may appeal any decision by ESMA by writing to the Director General within 14 days from receiving the decision.

14.2 For each appeal received, the relevant section shall recommend to the Director General the formation of an Ad-Hoc Appeals Committee comprising of impartial qualified members to review and study the appeal. The Committee shall set a schedule for a decision meeting and inform the appellant of the date of the meeting and the composition of the Committee. During the meeting, the appellant and ESMA are entitled to state their case confidentially.

14.3 A consensus decision by the Committee is considered final. Until such decision is made, the relevant decision shall remain in force.

15. FEES

15.1 The applicant shall pay the necessary fees in accordance with the Schedule of Fees issued by ESMA.

15.2 ESMA has the right to invoice for any additional work related to repeated or additional testing and/or factory assessments due to non-compliances found.

15.3 ESMA reserves the right to amend the fees if necessary.

15.4 Paid fees are not refundable.

15.5 For all related overseas activities, the applicant shall bear all the cost necessary for the transportation, accommodation and allowances of ESMA personnel.

16. LIABILITY/DISCLAIMER
16.1 ESMA shall not be held responsible for any action (legal or otherwise) raise by any party against the supplier of the registered product on matters resulting from the implementation of the Emirates Conformity Assessment Schemes.

16.2 The Approved Supplier is ultimately responsible for the ensuring that the product meets the requirements of other applicable regulations that were not assessed during the process. This includes quality, safety, health and environmental regulations that are not necessarily covered by the relevant Standards and or the Specific Technical Requirements.

17. REVISION OF RULES

17.1 ESMA has the right to change these General Rules and specific Technical Rules. Interested parties shall be informed accordingly of the changes.

18. CONFIDENTIALITY

ESMA is responsible for ensuring that confidentiality of information is maintained by its personnel and of and those of its subcontractors concerning all information obtained as a result of the inspection and testing carried out.

19. PRODUCT COMPLAINTS

The ECAS certificate holder shall keep records of all complaints relating to product compliance and report all complaints to ESMA upon request including all corrective actions done with respect to such complaints.
GENERAL REQUIREMENTS FOR THE EMIRATES QUALITY MARK

UAE PRODUCT CERTIFICATION SCHEME

GENERAL REQUIREMENTS
FOR THE GRANTING OF THE
EMIRATES MARK OF CONFORMITY
1. Introduction

This document defines General Requirements for the implementation of UAE Product Certification Scheme. The UAE Product Certification Scheme is a third party national certification scheme being implemented by the Emirates Authority for Standardization and Metrology where the Scheme shall grant the use of the Emirates Mark of Conformity (“Al-Alama”) to the products that demonstrate compliance to this General Requirements, the relevant Specific Requirements and the relevant UAE National Standards or other acceptable Standards.

Participation to this Scheme is voluntary. However, in some instances government authorities may require mandatory certification.

2. Scope

This General Requirements for UAE Product Certification Scheme is applicable to imported and locally produced products having a UAE National Standard, GCC Standards or other internationally accepted Standards.

ESMA shall prepare specific Technical Requirements for each product under this scheme. ESMA shall conduct the Product Certification Process only for products having specific Technical Requirements.

3. Definition

For the purpose of these General Requirements, the following definitions shall apply:

3.1 ESMA - a government body mandated to issue the Emirates Mark of Conformity and is the only authorized body to implement this Scheme.

3.2 Product – refers to the product(s) being evaluated and approved for the UAE Product Certification Scheme.

3.3 UAE Product Certification Scheme – a national product certification scheme which allows the use of the Emirates Mark of Conformity to the certified product.

3.4 Licensing Agreement – an agreement entered into by ESMA and the licensee to be implemented for the products having approved under the
UAE Product Certification Scheme and is using Emirates Mark of Conformity

3.5 License – a document granted to the licensee allowing him to use the Emirates Mark of Conformity to the certified products under the UAE product Certification Scheme

3.6 Licensee – a manufacturer or trader responsible for the Products approved under the UAE Product

3.7 Initial Testing - refers to the verification of product conformance to a specified Technical Requirements prior to the Certification of the Product

3.8 Technical Requirements – a document specifying the set of rules in implementing this General Requirements to be met by a specific product

3.9 Certificate of Conformity – a certificate issued by ESMA indicating that a product complies with the requirements of the UAE Product Certification Scheme.

3.10 Emirates Mark of Conformity – An approved mark by ESMA indicating conformity of product to the UAE Product Certification Scheme

3.11 Approved Standard – refers to a Product Standard approved by ESMA to be used in verifying conformity of a product.

3.12 Recognized Conformity Assessment Body- a competent body recognized by ESMA to carry out factory inspection and/or testing of product.

4. Condition to be met for the granting of Certificate of Conformity and the Emirates Mark of Conformity

4.1 Locally produced or imported products and the company responsible to the product shall apply and comply with this General Requirement and the specific Technical Requirements for the product to be granted the license to use the Emirates Mark of Conformity

4.2 It is the responsibility of the Manufacturer for locally manufactured product or the importer for the imported products to register the product/s to ESMA.
5. Application

5.1 Documents required to be submitted for Registration of Products

5.1.1 Application Form. Application from an applicant shall be signed by both the applicant and the manufacturer of the product if the applicant is different from the Manufacturer. By signing the application form, the applicant and the manufacturer agrees to comply with this General Rules and with the Specific Technical Requirements for the product covered by the Certification process.

5.1.2 Separate applications shall be submitted for each product type or group of products that refers to a different Technical Requirements

5.1.3 Valid Trade / Industrial License

5.1.4 Vicinity Map of the company and its warehouse where the product is stored.

5.1.5 Quality Manual, Quality Plan and other documents as defined in the specific Technical Requirements

6. Initial Assessment and Independent Testing of Product

6.1 Upon acceptance of the Application form and all the necessary documents, ESMA shall make the necessary arrangement with the applicant for carrying out the initial assessment. The initial assessment shall consist of:

6.1.1 Assessment of the factory quality management system according the latest edition of ISO 9001 Standards and the Technical Requirements for the Product.

6.1.2 Third Party testing of product according to the Specific Technical Rules and Approved Standard.

6.2 Assessment, Testing and Evaluation of product shall be conducted by ESMA and/or by the ESMA Recognized Conformity Assessment Bodies.

6.3 The number of samples, the tests to be conducted and the Approved Standards for which the product is subjected for testing shall be defined in the specific Technical Requirements.
7. Certification of Product

7.2 When the results of factory assessments and third party laboratory testing demonstrates that the relevant requirements are met, ESMA shall issue a Licensing Agreement to be signed by the applicant indicating his acceptance of the Terms and Conditions of the Licensing Agreement.

7.3 After the signing of the Licensing Agreement, a Certificate of Conformity, the License to use of the Emirates Mark of Conformity shall be issued together with the Emirates Mark of Conformity and the certified product and the licensee shall be included in the List of UAE Certified Products.

7.4 The Certificate of Conformity is not transferable and is valid only for the product being manufactured in a site being assessed.

7.5 Product Certification shall be renewed annually.

8. Extending the Scope of Certification

8.1 The licensee can extend the product certification to other types or models of products made in the same factory to the same Technical Requirement. In cases like this, ESMA shall decide whether a Factory assessment and/or product testing shall be waived or performed for a particular model.

Other products being manufactured in the same factory shall be treated independently and separately.

9. Regular Surveillances

9.1 Certified Products are subjected to a regular surveillance visit to ensure that the product is consistently complying with the defined Technical Requirements. Surveillance visit shall include factory assessment and product testing to be conducted by ESMA and/or its recognized Conformity Assessment Bodies.

9.2 In addition to surveillance visits ESMA may carry out special unannounced visits whenever necessary.
10. Market Monitoring

10.1 ESMA shall prepare a market-monitoring plan to verify that the product certified under the scheme complies with the relevant Technical Requirements. The market monitoring involves a random inspection of the items at point of sale and/or at the warehouse. Samples shall be withdrawn during monitoring for further testing if necessary.

11. The Emirates Mark of Conformity

11.1 After obtaining the Certificate of Conformity, the licensee has the right to use the Emirates Mark of Conformity on the certified products.

11.2 The licensee may use the mark for sales promotion for the product. It may be used in advertisements and on stationary together with the logo or the name of the manufacturer or the licensee provided that it is not used in such a manner that ESMA may consider as misleading. The Emirates Mark of Conformity shall be reproduced exactly the same color and proportion whenever it is possible.

11.3 The Emirates Mark of Conformity is issued together with an Identification Code, which is unique to the registered product. When using the Emirates Mark of Conformity, the licensee shall always use it with the corresponding identification code.

11.4 The Emirates Mark of Conformity is the exclusive property of ESMA and its correct use is a contractual obligation. Intentional misuse of the mark maybe grounds for actions that may include but not limited to withdrawing the Certificate of Conformity. ESMA shall implement market monitoring for ensuring correct use of the Emirates Mark of Conformity.

12. Publicity for Certified Products

12.1 ESMA shall maintain and publish a List of Certified Products under the UAE Product Certification Scheme.

12.2 The licensees have the right to publish, advertise that certification has been granted. However, care should be taken so that there shall be no confusion between certified and non-certified products.
13. Suspension, Withdrawal and Cancellation of the License and the Licensing Agreement

13.1 The licensing agreement may be suspended if surveillance shows non-conformance with the requirements of such nature that immediate withdrawal is not necessary such as:

13.1.1 Defects detected in the product caused by temporary disturbance in the production process

13.1.2 Improper use of Emirates Mark of Conformity that is not solved by remedial measures by the licensee

13.1.3 Mutual agreement between ESMA and the licensee for whatever reason.

The suspension shall be lifted upon satisfactory implementation of the corrective action(s).

13.2 The License may be withdrawn permanently under the following conditions:

13.2.1 The product defect is not corrected within the agreed period.

13.2.2 The Emirates Mark of Conformity is being used for the non-certified products

13.2.3 Violation of the provision of the Licensing Agreement

13.2.4 Failure of the licensee to settle financial obligation to ESMA

13.2.5 Inadequate corrective actions taken to rectify the reasons for suspension

13.3 The License can be cancelled if:

13.3.1 Certification is terminated by the Licensee

13.3.2 The standard or rules are changed and the licensee cannot ensure compliances with the new requirements.
13.3.3 Product is no longer produced or if the licensee goes out of business.

13.4 Upon suspension, withdrawal or cancellation of the License.

13.4.1 Use of Emirates Mark of Conformity shall be stamped on the product and on promotional or advertising materials.

13.4.2 If required, the Emirates Mark of Conformity shall be removed from all products in stock or from those already delivered to the dealers to the open market.

13.4.3 If required, the Licensee shall inform its clients about the non-conformities in the products.

13.4.4 The Licensee shall take all the necessary steps to ensure that all interested parties are not misled to believe that the License has not been suspended, withdrawn or cancelled.

14. Appeals

14.1 The applicant or the Licensee may appeal any decision by ESMA by writing to the Deputy Director General within 14 days from receiving the decision.

14.2 For each appeal received, the relevant section shall recommend to the Deputy Director General of ESMA the formation of an Ad-Hoc Appeals Committee comprising of impartial qualified members to review and study the appeal. The Committee shall set a schedule for a decision meeting and inform the appellant of the date of the meeting and the composition of the Committee. During the meeting, the appellant and the relevant Section of ESMA are entitled to state their case confidentially.

14.3 A consensus decision by the Committee is considered final. Until such decision is made, the relevant Section decision shall remain in force.

15. Certification Fees

15.1 The applicant shall pay the necessary fees in accordance with the Schedule of Fees issued by ESMA.
15.2 ESMA has the right to invoice for any additional work related to repeated or additional testing and/or factory assessments due to non-compliances found.

15.3 ESMA reserves the right to amend the fees if necessary.

15.4 Paid fees are not refundable.

15.5 For all related overseas activities, the applicant shall bear all the cost necessary for the transportation, accommodation and allowances of ESMA personnel.

16. Liability and Disclaimer

16.1 ESMA shall not be held responsible for any action (legal or otherwise) raise by any party against the licensee on matters resulting from the implementation of Registration and Monitoring of Electrical Home Appliances.

16.2 The Licensee is ultimately responsible for ensuring that the product meets the requirements of other applicable regulations that were not assessed during the process. This includes quality, safety, health and environmental regulations that are not necessarily covered by the relevant Standards and or the Specific Technical Requirements.

17. Revision

17.1 ESMA has the right to change this General Rules and specific Technical Rules. Interested parties shall be informed accordingly of the changes.

18. Confidentiality

18.1 ESMA is responsible for ensuring that confidentiality of information is maintained by its personnel and of and those of its subcontractors concerning all information obtained as a result of the inspection and testing carried out.

19. Product Complaints

The Emirates Quality Mark holder shall keep records of all complaints relating to product compliance and report all complaints to ESMA upon request including all corrective actions done with respect to such complaints.