PRODUCT CERTIFICATION SCHEME FOR RESTRICTION OF HAZARDOUS SUBSTANCES

1. Objective:

This procedure describes the criteria implemented by RACS as Notified Body of Emirates Authority of Standardization and Metrology (ESMA) and Saudi Standards Metrology & Quality organization (SASO) to assure that Products under Electrical Sector – Scope: **RESTRICTION OF HAZARDOUS SUBSTANCES** intended for certification with ESMA and SASO are complying the relevant mandatory schemes and applicable Standards Furthermore, this document identifies the steps taken by RACS Clients (Manufacturers, Traders, importers, retailers, Business owners or any other client) to get their products/processes certified prior to its commercializing in the market, and registered by through RACS Quality certificates issuing services as ESMA Notified Body and Certification Body (3rd Party CAB) authorized by SASO by issuing certificates of conformity in accordance with Scheme Owner (ESMA/SASO) Regulations:

2. Definitions:

- **ESMA**: Emirates Authority for Standardization and Metrology.
- **SASO**: Saudi Standards Metrology & Quality organization
- **RACS**: RACS Quality certificates issuing services
- **Scheme:** Certification system related to specified products, to which the same specified requirements, specific rules and procedures apply.
- **Certification:** Third-party attestation related to products, processes, systems or persons.
- **Notified Body**: a conformity assessment body designated by ESMA to conduct conformity assessment process on products and processes in accordance with related schemes/standards/regulations mandated by ESMA.
- **Certification Body**: a conformity assessment body designated by SASO to conduct conformity assessment process on products and processes in accordance with related schemes/standards/regulations according to SASO.
- **Conformity Certificate**: Formal document issued by RACS as notified body under approval of ESMA and SASO stating that certification is being granted for the product/process in accordance with applicable scheme/standards as per ESMA and SASO Requirements.

3. Responsibility:

It is the responsibility of RACS as ESMA Notified Body, and SASO Certification Body (3rd party) to establish and maintain the appropriate system to satisfy both ESMA/SASO and clients requirements in accordance to the notification system mandated by ESMA/SASO.

It is the responsibility of ESMA/SASO clients and RACS clients to provide all needed requirements as per ESMA Notification system and SASO Certification Body (3rd Party CAB) to ensure their products compliance to the applicable schemes and standards.

4. Introduction about RACS Notified Body and 3rd Party CAB to provide Certification:

RACS is an accredited certification body & ESMA approved notified Body under its notification system mandated by UAE decree No (35) Of the year 2015 & UAE Cabinet Resolution No (36) and SASO approved Certification Body (3rd party CAB) according to the Decree no. 6386 issued by the Trade and Industry Ministry of Saudi Arabia (MOCI), dated the 4th of August 2004, and on Cabinet Resolution No. 216 of 2010, about Approval of the Law of the Saudi Arabian Specifications and Standards Authority.
RACS is an authorized conformity assessment body by ESMA/SASO that it is technically competent to perform the specific tasks of certification to ESMA/SASO clients.

5. Service Type:

As per Scheme owner rules, RACS certifies Restriction of Hazardous Substances Products and issues Certificate of conformity under:

- **Product Certification**: Product Certification is an either a Product Certification Scheme being implemented by (ESMA)as mandated by the Federal Law 28 of 2001, or a Product certification is being implemented by (SASO) according to the Decree no. 6386 issued by the Trade and Industry Ministry of Saudi Arabia (MOCI), dated the 4th of August 2004.
- **Full Quality Assurance**: Mark of Conformity granted to the products that can demonstrate compliance with the relevant National Standards, Regional and/or International Standards and are manufactured by an organization implementing an effective Quality Management System to ensure continuous compliance.

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The process of achieving the license to use the Quality Mark (Facility Certificate – Emirates Quality Mark (EQM) or SASO Mark) involves a comprehensive evaluation of the product as well as the quality system used by the manufacturer in production through testing, inspection.

Issuance of certificate of conformity by RACS as ESMA's Notified Body and SASO's 3rd party CAB assures the compliance of products/production process with the requirements of the approved schemes, standards and others specified in the technical regulation by Emirates Authority for Standardization and Metrology (ESMA) and Saudi Standards Metrology & Quality organization (SASO)

6. Scope of certified products by RACS –ESMA Notified Body /SASO Certification Body (3rd Party CAB):

This document cover Restriction of Hazardous substances products with below details of Sector, scope of certified products, products categories, and applicable type of certification:

Sector (Product Group)	Scope of Certification (Scope of Products)	Product categories	Type of Certification
ELECTRICAL	**Restriction of Hazardous Substances**	- Large cooling appliances - Refrigerators - Freezers - Other large appliances used for refrigeration, conservation and storage of food - Washing machines - Clothes dryers - Dish washing machines - Cooking - Electric stoves - Electric hot plates - Microwaves - Other large appliances used for cooking and other processing of food - Electric heating appliances - Electric radiators - Other large appliances for heating rooms, beds, seating furniture - Electric fans - Air conditioner appliances - Other fanning, exhaust ventilation and conditioning equipment - Vacuum cleaners - Carpet sweepers - Other appliances for cleaning - Appliances used for sewing, knitting, weaving and other processing for textiles Irons and other appliances for ironing, mangling and other care of clothing - Toasters - Fryers - Grinders, coffee machines and equipment for opening or sealing containers or packages - Electric knives - Appliances for hair-cutting, hair drying, tooth brushing, shaving, massage and other body care appliances	1. Product Certification - Type Approval ESMA/ECAS. 2. Facility Certification- Model H under ESMA/EQM (Optional)

		- Clocks, watches and equipment for measuring, indicating or registering time - Scales - Centralized data processing: - Mainframes - Minicomputers - Printer units - Personal computing: - Personal computers (CPU, mouse, screen and keyboard included) - Laptop computers (CPU, mouse, screen and keyboard included) - Notebook computers - Notepad computers - Printers - Copying equipment - Electrical and electronic typewriters - Pocket and desk calculators - Other products and equipment for the collection, storage, processing, presentation or communication of information by electronic means user terminals and systems - Facsimile - Telex - Telephones - Pay telephones - Cordless telephones - Cellular telephones - Answering systems - Other products or equipment of transmitting sound, images or other information by telecommunications - Radio sets - Television sets - Video cameras - Video recorders - Hi-fi recorders - Audio amplifiers - Musical instruments - Other products or equipment for recording or reproducing sound or images, including signals or other technologies for the distribution of sound and image than by telecommunications - Luminaires for fluorescent lamps except for luminaires in households - Straight fluorescent lamps - Compact fluorescent lamps - High intensity discharge lamps, including pressure sodium lamps and metal halide lamps - Low pressure sodium lamps - Other lighting or equipment for spreading or controlling light except for filament bulbs - Drills - Saws - Sewing machines	

		- Equipment for turning, milling, sanding, grinding, sawing, cutting, shearing, drilling, making holes, punching, folding, bending or similar processing of wood, metal and other materials - Tools for riveting, nailing or screwing or removing rivets, nails, screws or similar uses tools for welding, soldering or similar use - Equipment for spraying, spreading, dispersing or other treatment of liquid or gaseous substances by other means - Tools for mowing or other gardening activities - Electric trains or car racing sets - Hand-held video game consoles - Video games - Computers for biking, diving, running and rowing - Sports equipment with electric or electronic components coin slot machines - Radiotherapy equipment - Cardiology - Dialysis - Pulmonary ventilators - Nuclear medicine - Laboratory equipment for in-vitro diagnosis - Analyzers - Freezers - Fertilization tests - Other appliances for detecting, preventing, monitoring, treating, alleviating illness, injury or disability - Smoke detector - Heating regulators - Thermostats - Measuring, weighing or adjusting appliances for household or laboratory equipment - Other monitoring and control instruments used in industrial installations (for example, in control panels) - Automatic dispensers for hot drinks - Automatic dispensers for hot or cold bottles or cans - Automatic dispensers for solid products - Automatic dispensers for money All appliances which deliver automatically all kind of products	

7. Mandatory Schemes and Applicable Standards:

The UAE Assessment Scheme (ECAS) According to the technical requirements of Cabinet Resolution No. 10 for the year 2017

Also, Decree no. 6386 issued by the Trade and Industry Ministry of Saudi Arabia (MOCI), dated the 4th of August 2004.

If needed, Client refers to RACS to identify applicable Scheme and Standards.

RACS Staff to refer to RACS/REC/79 Scope of Certified Products by RACS to identify Certification applicable schemes and standards.

8. Requirements for Certification:

Requirements varies depending on the scope of certified products; Details of the documents required for certification for the scope of Restriction of Hazardous Substances Product as per ESMA requirements are detailed as following:

8.1. Supportive documents: as following:

Product Certification:

- Application form.
- Valid UAE Industry/Trade License.
- Risk assessment to be submitted in case the full product assessment for RoHS is not completed.
- Applicant issues a Declaration of Compliance including only critical components.
- Applicant submits a full RoHS test report of the complete product (if available). Otherwise (3) test reports of the critical component to be submitted
- Fees

Facility Certification

- Application form.
- Valid UAE Industry/Trade License.
- Applicant issues a Declaration of Compliance.
- Applicant submits risk assessment documents based on IEC 63000 and IEC 62476.

8.2. Application for Certification (Application Form): Application to be filled by the client will contain all the necessary information needed by RACS Quality for conducting the certification Process, such important information is:

- Type of Product to be certified: Product, facility (Process) to identify the related scheme implemented by ESMA/SASO.
- Relevant standard/ or normative documents clients is seeking certification for.
- General information: Applicant Business activities & related business facilities & relationship between their facilities, in relevance to the certification scheme applied for information about outsourced Processes relevant to Product conformity.
- Any other information needed related to certification requirements.
- 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

8.3. Legal Agreements:

- Certification Agreement:
- Non-Disclosure Agreement

8.4. Fees as detailed in RACS Schedule of Fees (RACS/REC/46)

9. Certification Procedures:

Based on its role as SASO Certification Body (3rd Party CAB), Procedure will be performed as following:

9.1. Preparatory Steps:

Based on its role as SASO Certification Body (3rd Party CAB), Procedure will be performed as following:

9.2. Preparatory Steps:

9.2.1. Application Form shall be submitted by applicant to RACS, submission can be done via RACS affordable communication methods (mail, emails, hard copy, website, E-System)

9.2.2. Sales and Marketing Executive/Administrative assistant will review it to check documents availability on a primary basis

9.2.3. A quotation will be sent to applicant by Head of Sales and Marketing; containing the scope of certification and fees related to each step of the certification process.

9.2.4. Payment shall be done by applicant.

9.3. Application Review

9.3.1. Upon acceptance of quotation by client, he is requested to sign the General Conditions Certification Services.

9.3.2. Application along with related supportive documents will be received by RACS Conformity Manager who shall assign one of RACS technical team members (Conformity Officer- (Evaluator or Auditor)).

9.4. Application Evaluation

9.4.1. Conformity Officer (Evaluator or Auditor) shall perform conformity assessment (Evaluation) steps related to the certification scheme (Product Certification):

Product Certification:

- Detailed documents review for all the documents
- Document review includes the check up for Test Reports parameters and results, done by 3rd party Laboratory according to the specific technical regulations and applicable standards.
- Evaluation of product the eligibility of the Product for certification to assure compliance according to applicable schemes and standards

Facility Certification:

- Detailed documents review for all the documents
- Document review includes the check up for Test Reports parameters and results, done by 3rd party Laboratory according to the specific technical regulations and applicable standards.
- On-Site Audit to the facility where the product is being manufactured to assure the quality management system adopted in full compliance with applicable standards and technical regulations.
- Evaluation of product the eligibility of the Product for certification.

Note: No of Samples to be selected for testing is defined by the specific technical requirements and as per scheme owner

9.4.2. Evaluation Outcome results:

- If evaluation is pending for missing or invalid documents or other needed information to complete evaluation; Additional Supportive Documents will be requested by Applicant.
- Evaluation includes Product Safety Verification through test reports provided on all safety Test parameters requested by applicable scheme/standards, test reports shall be issued by 3rd party accredited Laboratory sub-contracted according to the approved Standards and applicable technical requirements.
- If test reports are not complying with Standards; Conformity Officer/Assessor requests rectification of the non-complying aspects, then based on applicant confirmation of rectification, Collection of samples will be done to conduct the same laboratory tests again and for once.
- Evaluation will be repeated upon applicant re-submission of needed documents/information.

9.5. Decision of Certification: Upon submission of this information, and as per the result of documents review and completing product evaluation process,

9.5.1. Recommendation of approval of Product certification: Product evaluation shows full compliance with applicable schemes/standards:

- Application is initially approved by Conformity Officer/Assessor
- Recommendation for certification approval will be made by Conformity Manager
- Certification decision will be done by Decision Committee
- Granting the issuance of Certificate of conformity, recognized by Scheme Owner (SASO)
- Certified Products will be listed in RACS Certified Products registry.

9.5.2. Recommendation of rejection of Product certification: Product evaluation shows non-compliance with applicable schemes/standards, due to any reason preventing product from Certification:

- Application is declined by Conformity Officer/Assessor
- Recommendation for certification rejection will be made by Conformity Manager
- Rejection decision will be done by Decision Committee
- RACS will inform client by an Official rejection statement (Letter of certification Status) by e-mail stating the reason of rejection.

Please refer to Available on RACS Website→Publicly available information→ RACS Notified Body →Required Docs→

- **ROHS/REC/01:** Legal & Quality Documents-List of certification requirements per Scheme – Restriction of Hazardous substances
- **ROHS/REC/02:** Application form- Restriction of Hazardous substances
- **ROHS/REC/03:** Product Certificate template

- **ROHS/REC/04:** Assessment Checklist EN-50581
- **ROHS/REC/07:** Assessment Checklist IEC 62476
- **ROHS/REC/08:** Product Assessment Checklist as per Scheme
- **RACS/Ag/01**: Certification Agreement/ RACS Quality- Client
- **RACS/Ag/03**: NDA/RACS Quality - Client/Subcontractor
- **RACS/Ag/10:** General Conditions for Certification Services

Notes for clients:

- For some scopes where it is required to have a quality system available, clients seeking to be certified for any of their (Products or services or facility/Process) to Schemes and applicable standards through RACS are requested to implement relevant Quality System including documentation in a way to meet all requirements of this standard and all relevant specific standards depending on the nature of service (certified Product& Process).
- In case of a Client newly operating, and seeking to be certified, Client is required to demonstrate more than 3 months' compliance against the standard immediately preceding the date of the Pre-Assessment performed by RACS. This will prove the efficacy and sustainability of the implemented system. After which RACS will be contacted to plan for required audits and Certification.
- Client seeking extension or renewal of Certification scope shall as well submit the self- assessment checklist specifying the extension or renewal of the Certification scope.
- Whenever applicable, Additional Certification requirements per Certification schemes: Legal & Quality documents (such as Client Quality Manual) and supportive documents (records and checklists used by applicant), are to be attached to the Self-Assessment Checklist requirements and submitted along with the application as well.

10. Renewal:

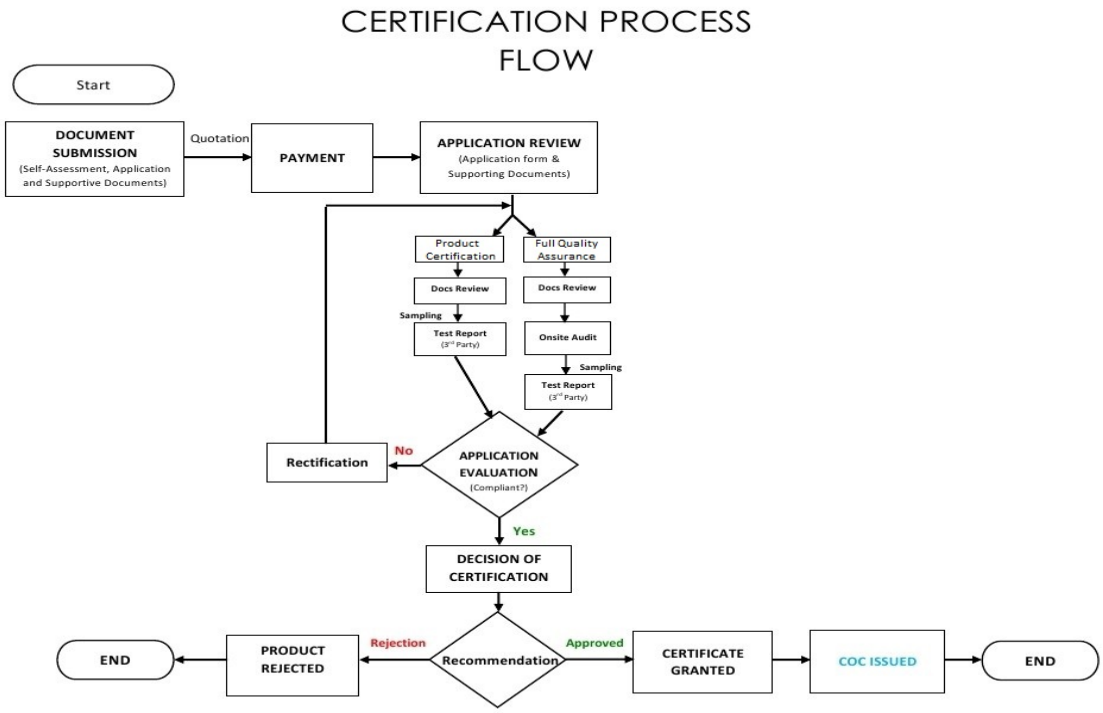
Product Certification:

- Validity of certificate is one year.
- COC should be renewed 2 months prior expiry.

Facility Certification:

- Validity of certificate is three years.
- COC should be renewed 2 months prior expiry.

11. Process Map:



12. Market Monitoring:

RACS Will be conducting Market Surveillance campaigns in the local markets to assure continuous compliance of certified products and inform Scheme owner on immediate basis on the non-conformity products to take the appropriate action.

13. Related Forms:

Listed Agreements, SOPs, Records related to the **SOP 61** as follows:

General Forms:

TITLE OF DOCUMENT	IDENTIFICATION
Quality Master List	RACS/REC/01
Certification Agreement/ RACS Quality- Client	RACS/AG/01
NDA/RACS Quality - Client/Subcontractor	RACS/AG/03
Scope of Certified Products	RACS/REC/79
Schedule of Fees	RACS/REC/46

Specific Records related to the Scope:

Legal & Quality Documents-List of certification requirements per Scheme – Restriction of Hazardous substances	**ROHS/REC/01**
Application form- Restriction of Hazardous substances	**ROHS/REC/02**
Certificate template	**ROHS/REC/03**
Assessment Checklist EN-50581	**ROHS/REC/04**
Assessment Checklist IEC 62476	**ROHS/REC/07**
Product Assessment Checklist as per Scheme	**ROHS/REC/08**

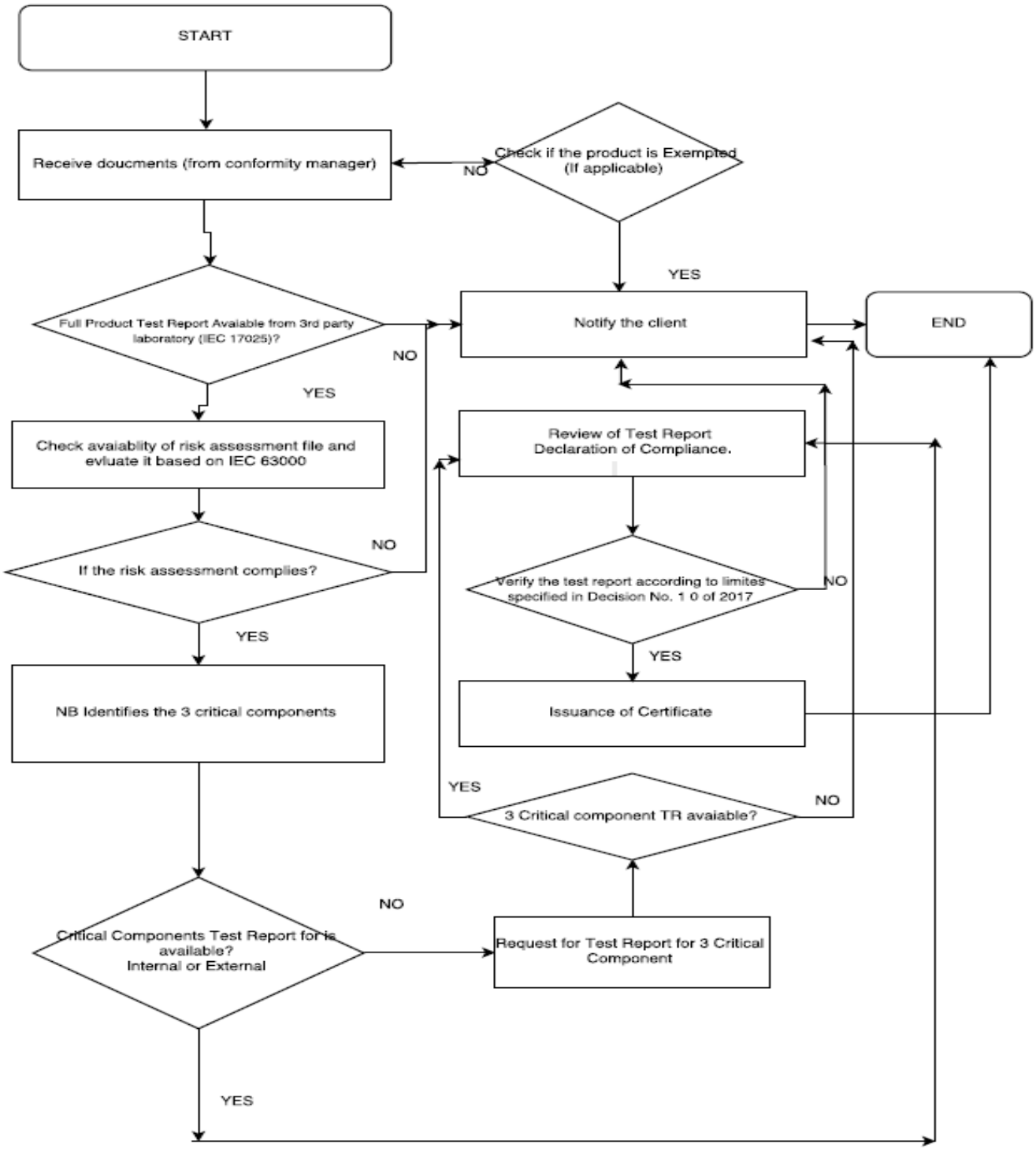
14. References:

UAE Cabinet Decision 10 of 2017 Restriction on Hazardous Substances
General Requirements for Certification Bodies (3rd Party CAB) –SASO Document.
Requirements for Registration –SASO Documents-Available in SASO website and RACS website and upon request by RACS Staff.

- ISO/IEC 17065, Conformity Assessment - Requirements for bodies certifying Products, Processes and services.
- ISO/IEC 17021, Conformity Assessment — Requirements for bodies Providing audit and Certification of management systems.
- ISO 9001:2015 Quality Management Systems
- GAC Document: FAD- 4.0: Supplementary accreditation requirements for Product Certification Bodies.
- R307: General Requirements Accreditation of ISO /IEC 17065 Product Certification Bodies
- IAF Mandatory Document: Determination of Audit Time of Quality and Environmental Management System.
- ISO/IEC 17000, Conformity Assessment — Vocabulary and general principles.
- ISO/IEC 17020, Conformity Assessment— Requirements for the operation of various types of bodies performing inspection.
- ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories.
- ISO17067, in combination with ISO Guide 28 and ISO Guide 53
- ISO/IEC 17030, Conformity Assessment — General requirements for third-party marks of conformity.
- ISO Guide 23:1982 Methods of indicating conformity with Standards for third-Party certification Systems
- ISO Guide 27:1983 Guidelines for corrective action to be taken by a certification body in the event of misuse of its mark of conformity

- General Requirements for Notified Bodies issued by Emirates Authority for Standardization and Metrology (ESMA).
- RACS Quality Manual RACS/QM/01
- All controlled QMS records-Please refer to RACS/REC/01-Quality Master List.

ANNEX A: Flowchart for Product Certification



ANNEX B: Flowchart for Facility Certification