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version

# Certification Guideline

## ECB-S C10

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Annex A: Scope of accreditation (standards and specifications)

## 1 Scope

This Certification Guideline is applicable to the type testing, product certification, external quality surveillance and approval of design modifications of the following security products according to Annex A:

- Burglary resistance products
- Fire resistance products
- High security locks
- Fire safety storage cabinets
- Burglar resistant construction products (Pedestrian doorsets, windows, curtain walling, grilles and shutters)
- Building hardware (cylinders for locks)
- Apertures of private letter boxes and letter plates

## 2 Basics of product certification

As a certification body according to ISO/IEC 17065, European Certification Body GmbH (ECB) issues an ECB•S certificate to applicants for security products according to Annex A.

Depending on the product, the basic elements of the issue and receipt of the certificate comprise – if applicable:

- Application for type testing and product certification addressed to ECB according to ECB•S C11,
- a documented quality management system (QM system), normally according to ISO 9001 (see ECB minimum requirements) at the manufacturing plant of the certificate holder. The QM system shall cover all product-related activities, in particular purchasing, production and final inspection,
- type testing according to the basic standards listed in Annex A and this Certification Guideline,
- the test and/or assessment report of a body according to ISO/IEC 17025 or ISO/IEC 17065 recognized by ECB according to ECB•S C12,
- Guideline ECB•S R01 "Lockguide",
- Guideline ECB•S R03 "Requirements on strongrooms in cast in-situ and/or modular design",
- Guideline ECB•S R07 "Quality surveillance filling materials for security products" and
- execution of an external quality surveillance audit at the manufacturing plants of the certificate holders (initial audit and periodical audit) (clause 3.2).

## 3 Product certification procedure

### 3.1 Type testing and product certification

- 3.1.1 Application for type testing and certification of products according to Annex A shall be made by the applicant with ECB in writing using an application according to ECB•S C11.
- 3.1.2 The type test shall be carried out at a body recognized by ECB in accordance with ECB•S C12. Design modifications compared to the design type-tested as a basis of the product certification are dealt with analogous to section 4.
- 3.1.3 ECB is entitled to participate in the type test through experts.
- 3.1.4 The applicant shall be informed about the result within four weeks of the type test and shall receive a copy of the test report.
- 3.1.5 The type test and, where applicable, assessment shall be invoiced in accordance with the current scale of fees of the recognized body.
- 3.1.6 A decision about the product certification is made by ECB on the basis of the type test and/or assessment results. If an application is turned down, the applicant shall be informed about the reasons so that a second test (comparison test, assessment of design modification) can be made after the rectification of the causes of denial.
- 3.1.7 The product certification shall be invoiced in accordance with the current scale of fees of ECB.
- 3.1.8 After the product certification, the applicant undertakes in writing to manufacture the series products in accordance with the underlying Technical Documentation of the certificate.
- 3.1.9 Applicants who develop products according to Annex A together may jointly apply for a type test. After a successful type test, ECB can issue a product certification to these companies. The preconditions for product certification according to section 2 shall be equally applicable for the applicants.
- 3.1.10 If an applicant (licensee) wishes to manufacture products according to Annex A for which ECB has already issued a product certification under a licence of a certificate holder (licensor), ECB may grant a certificate without a renewed type test on the request of the applicant (licensee).

The product certification for the manufacture under licence is granted for the duration of the contractual agreement however only for a maximum of four years.

The preconditions for product certification according to section 2 are applicable analogously.

3.1.11 If an applicant wishes to distribute products of a certificate holder for which ECB has already issued a product certification with an own certificate based on a contractual agreement, ECB may grant a certificate to this applicant without a renewed type test upon request.

The product certification is valid for the duration of the contractual agreement however only for a maximum of four years.

3.1.12 If a certificate holder wants products certified according to Annex A to be manufactured totally or partly by another company, ECB may at the request of the certificate holder recognize the manufacturing plant of the other company as a manufacturing plant of the certificate holder. Besides evidence of the governing influence of the certificate holder on the manufacturing and auditing process of the product at the plant of the other company, this above all requires that the other company submits to the external quality surveillance according to the Certification Guideline and maintains a documented quality management system normally according to ISO 9001 (see ECB minimum requirements).

The recognition is upheld for a limited period of time and given subject to regular provision of evidence of the required preconditions.

3.1.13 The validity of the certificate is limited to four years. A prolongation is possible, if the recognized body or ECB confirms at the request of the certificate holder that the product still complies with the current standard.

## 3.2 External quality surveillance

3.2.1 ECB carries out the following external quality surveillance audits at the manufacturing plants of the certificate holders:

- Initial audit (first external quality surveillance audit to determine whether the manufacturing plant of the applicant fulfils the requirements for the production of products according to Annex A).
- Periodical audit (ongoing external quality surveillance audit according to clause 3.2.5 at the manufacturing plant of the certificate

holder to determine whether the series products comply with the approved technical documentation according to the ECB•S certificate.

Furthermore, ECB is entitled to carry out comparison tests on products out of the production and stock as well as products procured on the market.

3.2.2 The external quality surveillance audit shall be carried out by the recognized bodies or ECB itself in accordance with ECB•S C12. If the certificate holder co-operates with several recognized bodies due to this company's range of products, it is possible to choose a recognized body in co-ordination with ECB. It must be guaranteed that the requirements for the certified products are supervised.

3.2.3 The manufacturing plant shall ensure within internal self-inspection through a documented QM system normally according to ISO 9001 (see ECB minimum requirements) that the series products are identical with the approved Technical Documentation. The results of the self-inspections shall be documented and presented to the recognized body in the external quality surveillance audits upon request.

3.2.4 The external quality surveillance audit shall be made by an auditor from a recognized body or ECB itself at the manufacturing plant according to ECB•S C12 and can be carried out without advance notice. The auditor shall prove his identity through an adequate identification paper. The manufacturing plants of the certificate holders shall allow the auditor an inspection of the plant and the products at any time during working hours. In addition they are obliged to supply the products to be tested out of the production and stock according to his wishes, among other things for test comparisons in compliance with the underlying standards according to Annex A, and to give him adequate assistance.

ECB is entitled to take part in all external quality surveillance audits through experts.

The external quality surveillance is carried out on the basis of the ECB•S certificate and the Technical Documentation covered by the certificate. This certificate including Annex and the approved Technical Documentation must be made available to the recognized body by the manufacturing plant before the audit.

Within the framework of the surveillance audits, the auditor shall investigate whether the manufacturing plant manufactures on the basis of a documented quality management

system normally according to ISO 9001 (see ECB minimum requirements).

3.2.5 Every year, two external quality surveillance audits shall be carried out at the manufacturing plant of the certificate holder. The number of surveillance audits can be reduced to one external quality surveillance audit per year if no deficiencies are found. If it is found that there are again deviations from the approved Technical Documentation, the ECB may reinstate the requirement of two audits to be made per year.

Depending on the product concerned in accordance with Annex A, the ECB may decide to require a number of external quality surveillance audits other than two and/or one.

Certificate holders who do not manufacture ECB•S certified products on a continuous basis shall inform ECB in time about their production times.

3.2.6 The certificate holder may mark the ECB•S certified products with the ECB•S certification mark only after a successful initial audit according to clause 3.2.1.

3.2.7 In the surveillance audits, the products being manufactured, the equipment of the plant as well as the production process shall be audited.

3.2.8 The manufacturer of data rooms must report ECB the assembly date in advance. The notification covers the beginning and the expected completion of the assembly as well as the site of installation and the certification mark number.

3.2.9 The recognized body shall draw up a report about the external quality surveillance audit within four weeks.

Where the results of the surveillance audit are negative, the certificate holder and the manufacturing plant shall be informed in writing about defects detected in the design and construction as well as possible obligations imposed by ECB.

3.2.10 The manufacturing plants of the certificate holders shall keep a list of any deficiencies detected in the surveillance audits and as a result of customer complaints as well as the measures taken in order to rectify the deviations. It shall be presented to the recognized body within the context of the external quality surveillance audits upon request.

3.2.11 The external quality surveillance audits and any special audits shall be invoiced in accordance with the current scale of fees of

the recognized body in accordance with ECB•S C12 as well as the ECB.

#### **4 Approval procedure for design modifications**

4.1 Applications for design modifications on security products in accordance with Annex A shall be presented by the certificate holder to ECB together with the Application according to ECB•S C11 and the modified Technical Documentation.

The influence of the design modification on the certified product shall be assessed on the basis of the presented and approved Technical Documentation as well as the test results (e.g. of the type tests) by ECB if necessary in agreement with the recognized body. Where it is not possible to reach a decision on the grounds of these documents, ECB may request comparison tests in accordance with the relevant European standard. The decision about the number and the selection of test specimens' rests with the recognised body (laboratory) or ECB.

The approval of the design modification is issued by ECB after the assessment and a positive decision.

4.2 The assessment of design modifications shall be invoiced in accordance with the current scale of fees of the recognized body or ECB in accordance with ECB•S C12.

#### **5 Use of the certificate and the certification mark**

5.1 Use of certificates and certification marks of ECB for promotional purposes is only permitted for products certified by ECB. The ECB logo shall only be used in compliance with Guideline "ECB•S R09".

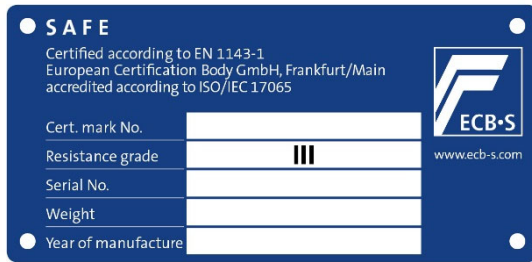
5.2 The ECB certificate may only be reproduced unchanged.

5.3 ECB is committed to take action against any misuse of the certificate and certification mark.

5.4 The certificate holder undertakes to report cases of misuse to ECB without any delay.

5.5 The marking on a product as ECB•S certified is only permitted in conjunction with a ECB•S certification mark/sticker. For this, ECB provides the certificate holder with certification marks (optional also with bar code) on request.

Below an example of a certification mark for a safe of resistance grade III according to EN 1143-1 (without barcode):



Below an example of a certification mark for an ATM safe III according to EN 1143-1 (with bar code):



Below an example of a certification mark for High Security Locks according to EN 1300:



Below an example of a certification mark for burglar resistant doors according to EN 1627:



The certification marks are numbered sequentially (*Cert. mark No.*). Their allocation to products of a specific certificate holder is documented by ECB. The certificate holder shall maintain a quality recording system based on the numbering of the marks so that the mark can be traced back to the manufactured product.

- 5.6 The user of the certification mark undertakes to return certification marks still available in the company after the expiration of the product certification to ECB directly.
- 5.7 The certificate holder is not entitled to pass on the certification marks to a third party (e.g. other certificate holders).
- 5.8 The certificate holder may enter a company-specific serial number in the "Serial No." box. In addition, he may state the name of the model series under which it is certified. It is not permitted to enter other data, especially a brand name which is not used by

the certificate holder himself but another company.

An exception to this rule applies if this other company is also the owner of an ECB•S certificate for this product (e.g., certifications according to clause 3.1.11).

- 5.9 In the "*Weight*" box, the certificate holder shall give the correct weight of the product.
- 5.10 In the "*Year of manufacture*" box, the certificate holder shall enter the year in the course of which the security technology of the product was made fully operational.
- 5.11 Also optionally available for ATM safes are certification marks with the additional form field „Model“. If a local law requires additional information, the name of the model and/or the name of the manufacturer can be inserted into this form field.

## 6 Measures in the event of infringements

In the event of infringements of the certification conditions, particularly in the event of

- improper use of the certificate and the certification mark,
- improper marking of products (i.e. marking of products which do not comply with the approved Technical Documentation),
- deficiencies which are detected in the external surveillance audit and not rectified within the fixed period of time,
- behaviour which causes damage to the reputation of the ECB certification and jeopardizes the reputation of the recognized bodies.

ECB will take at least one of the following actions:

- a) Issue a caution with a deadline,
- b) order a one-off acceptance of products according to section 1 (Annex A) for a limited or unlimited period,
- c) impose the payment of a contractual penalty to ECB depending on the scope of fault up to a total amount of € 25,000.00,
- d) withdraw the product certificate and the corresponding right to mark the products for a limited or unlimited period.

## 7 Expiration of product certification

Apart from the withdrawal according to clause 6d, the product certification expires

- a) if the certificate holder returns the certificate,
- b) upon expiration of the validity of the product certificate (clause 3.1.13),
- c) upon expiration of the validity of the certificate for the certified quality management system according to ISO 9001 (see ECB minimum requirements) or if proof of a documented QM System can no longer be provided,
- d) if insolvency proceedings are instituted against the property of a certificate holder following the announcement of the order opening the proceedings or in the event of a rejection of the insolvency application through the court for lack of assets, with the exception of the opening of insolvency proceedings in the event of imminent insolvency under self-administration according to § 18 InsO (the German insolvency regulations) and similar regulations in other countries as applicable to non-German companies, respectively,
- e) if the certificate holder goes into liquidation.

The certification mark shall be removed from the certified product if repair work and services on certified secure storage units are performed by third parties.

In the event of adjournment, withdrawal or termination of the product certification, use of all promotional materials which contain any references to the certification shall be discontinued and the measures required in this Certification Guideline shall be taken (e.g., return of the certification marks).

## 8 Transfer of certificates

Transfer of ECB•S product certificates is only possible provided that:

- The certified product is manufactured by a successor in title at the same manufacturing plant,
- proof that the certified product is manufactured with the same know-how (especially by the same qualified staff) is furnished by the legal successor,
- proof of operation of a documented quality management system normally according to ISO 9001 (see ECB minimum requirements) is furnished for the manufacturing plant, and
- the certified product is manufactured with identical factory equipment or proof of equality of such equipment is furnished.

## 9 Applicable Documents

- Application (certification, design modification, extension of certificates), ECB•S C11
- ECB recognized bodies, ECB•S C12
- Documents to be annexed (for certification), ECB•S C13
- Lock Guide, ECB•S R01
- Requirements on strongrooms in solid construction and/or modular design, ECB•S R03
- Quality surveillance of filling materials for security products, ECB•S R07
- Conditions for the use of the ECB•S Logo, ECB•S R09
- Scale of Fees, ECB•S F01