

Certification Process Flow Chart – TÜV SÜD MIDDLE EAST LLC - Notified Body For ESMA APPLICATIONS ECAS Module H and EQM

Staff	Process Flow	Process Detail
CO	Start of Process	1. Application request submitted by the client for Certification, client to be provided ESMA COC requirements, regulation and standard requirements.
CO/FE	Document Submission	2. Conformity Officer to review the submitted document, assign application reference number and complete the proforma invoice as per the service card..
CO	File Assessment	3. Docs to be checked for eligibility if qualifies to proceed for certification, if not, application will be rejected, and non negotiable report will be issued & same will be updated to ESMA. If yes , assign application to concern CE/Auditor
CO	Application review	4. Update data base , assign the application to concern CE/Auditor as per skill matrix
CO	Onsite audit	5. Conduct technical review as per scheme requirement , proceed for onsite audit , follow audit protocol docs to cover product and process onsite assessment ,samples to be collected during onsite assessment . NCR be raised for non conformities. Post audit - review the corrective action received, test report if satisfactory continues to step 6. If not, back to Step 11
CO	Evaluation report prep / File Recommendation	6. Evaluation checklist will be prepared with compliance references linked to verified evidences and documents , corrective action details on discrepancies and closures , recommendation will be signed by CCO
SCE	Final Approval	7. Recommendation to be reviewed for final decision by senior Conformity engineer on certification award.
PO	Certificate Draft	8. Prepare draft certificate using standard template as per UAE Scheme requirement.
PO	Final COC / Invoice	9. Final COC issuance / invoice and deliver COC, logo policy to be signed by client for ECAS/EQM Logo along with fee as per ESMA requirement.
PO	Close	10. Close and archive file in TUV SUD data base. Index COC in Portal.
CO	Market Surveillance	11. Certified product will remain under market surveillance throughout the period , random sampling activity will be conducted as per the detailed procedure as per TUVSUDPC-WI-06
PO/CE	Rejection	12. Close and index the files , issue non-negotiable report , information on rejection to be sent to ESMA .

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Terms Used	
CO/CE	Certification Centre Officer (Conformity Engineer) Evaluator
SCE	Senior Conformity Engineer Review & Approval
FO	Finance Officer
PO	Processing Unit Officer
COC	Certificate of conformity