

# Conformity assessment procedures for the CertAlarm Scheme

RD\_080, Issue 15

This guide describes the procedures and conditions for testing and certification used for conformity assessment within the CertAlarm scheme, it also describes the standards and associated EU Regulations and Directives specified for various products, systems and services within the CertAlarm scheme and this guide describes the specification for testing to be conducted at periodic surveillance of products and systems. The CertAlarm scheme certifies that Alarm Components comply with the requirements as specified by CertAlarm.

**The Kiwa terms, conditions and regulations apply to matters not provided for in this document and / or underlying regulations.**



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NOTE: The person who initiated the document or modified the document is responsible for maintaining this record sheet

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**FOREWORD:**

The CERTALARM Quality Mark (the Mark) has been established to provide a single Quality Mark, Recognized throughout Europe, for products, systems and services in the Electrical and Electronic Fire & Life Safety and Security industries.

The CERTALARM System provides for Certification “System 5” applicable to products, and “System 6” applicable to services, as defined in ISO/IEC 17067. It provides assurance to the specifier and user that the product, system or service consistently meets all requirements of the relevant European or other specified standards.

The CERTALARM Mark is owned by CERTALARM AISBL and administered by CERTALARM Management. The CERTALARM System is made available to Certification bodies who wish to offer the CERTALARM Quality Mark to clients desiring to demonstrate the compliance of their products, systems or services to the relevant standards by conformity testing, assessment of the quality management system applicable to the manufacture / provision of that product, system or service and associated inspection of the manufacture or service provision.

This document currently includes both generic “CERTALARM System Rules” and the specific “Scheme Rules” for the initial CERTALARM schemes covering Fire and Security Alarm Equipment and Systems. Whilst provision has been made for the inclusion of Services schemes within the generic CERTALARM System, specific rules for a “Services” scheme have not yet been included.



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## 1 SCOPE

This document describes the operational requirements for the CERTALARM System applicable to CERTALARM Management, to the Certification, Test and Inspection Bodies and to Suppliers.

The tests to be conducted during periodic surveillance procedures of products certified under the CERTALARM scheme and is e.g. applicable for continuous compliance “system V” are specified in document CERTALARM System: Certification Rules - Part 2: Standards specified for various products, systems and services.

This document also refers to the rules in which the standards or other technical specifications to be used for assessment of compliance of products, systems or services, are listed along with identification of EU Regulations and Directives for which the manufacturer is responsible to make Declarations of Conformity order to qualify for granting of a license to apply the CERTALARM Mark.

## 2 NORMATIVE REFERENCES

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

EN ISO/IEC 17000	Conformity assessment – Vocabulary and general principles
EN ISO/IEC 17020	General Criteria for the operation of various types of bodies performing inspection
EN ISO/IEC 17025	General requirements for the competence of testing and calibration laboratories
EN ISO/IEC 17065	General requirements for bodies operating product certification systems
EN ISO/IEC 17067	Conformity assessment – Fundamentals of product certification
CERTALARM System: Certification Rules - Part 2	Standards specified for various products, systems and services
CERTALARM System: Certification Rules - Part 3	Specification for testing to be conducted at periodic surveillance of products and systems
CERTALARM System: Certification Rules - Part 4	Procedures for confirmation of continued consistency of results



## **3 INTRODUCTION**

### **3.1 About Kiwa FSS Products**

Kiwa FSS Products is a third party test laboratory and third party certification body. The Dutch Council for Accreditation (Raad voor Accreditatie: RvA) has accredited Kiwa FSS Products to ISO/IEC 17025 (laboratory) and NEN-EN-ISO/IEC 17065 (product certification).

### **3.2 About CertAlarm**

The CERTALARM Quality Mark (the Mark) has been established to provide a single Quality Mark, Recognized throughout Europe, for products, systems and services in the Electrical and Electronic Fire & Life Safety and Security industries.

The CERTALARM System provides for Certification “System 5” applicable to products, and “System 6” applicable to services, as defined in ISO/IEC 17067. It provides assurance to the specifier and user that the product, system or service consistently meets all requirements of the relevant European or other specified standards.

The CERTALARM Mark is owned by CERTALARM AISBL and administered by CERTALARM Management. The CERTALARM System is made available to Certification bodies who wish to offer the CERTALARM Quality Mark to clients desiring to demonstrate the compliance of their products, systems or services to the relevant standards by conformity testing, assessment of the quality management system applicable to the manufacture / provision of that product, system or service and associated inspection of the manufacture or service provision.

This document currently includes both generic “CERTALARM System Rules” and the specific “Scheme Rules” for the initial CERTALARM schemes covering Fire and Security Alarm Equipment and Systems. Whilst provision has been made for the inclusion of Services schemes within the generic CERTALARM System, specific rules for a “Services” scheme have not yet been included.

### **3.3 About this document**

This document is intended as a guide for manufacturers and importers who want to have registered that one of their Alarm Components is meeting the requirements of CertAlarm

The document describes the conformity assessment procedures that have to be followed to realise the registration. It also describes specific conditions, which manufacturers and importers will have to deal with.

The conformity assessment procedures are derived from the EN ISO/IEC 17067(:2013).



## 4. CERTALARM SCHEME

The CertAlarm scheme rules are published on the CertAlarm website under the subject Rules; <https://certalarm.org/rules>. Check the website for the latest version.

R-01 - Part 1: Definition of procedures and conditions for testing and certification

R-02 – Part 2: Standards specified for various products, systems and services

R-03 – Part 3 Specification for testing to be conducted at periodic surveillance of products and systems.

## 5. ACCREDITATION AND LISTING

A requirement of this certification scheme is that the test is performed under the accreditation and listing of the laboratory by Kiwa FSS Products, which performed the test. The laboratory of Kiwa FSS Products is fulfilling these requirements.

In conformance with the general quality policy of Kiwa FSS Products, accredited laboratories are accredited against ISO/IEC 17025. An accreditation body, which is member of the European co-operation for Accreditation (EA) or which has a Multilateral Agreement (MLA) with the EA, has done the accreditation.

### 5.1 Acceptance of external test reports

- The Test Report has to bear the logo of their accreditation body.
- Evidence must be provided, that the work performed at the time of issuing the test report is under accreditation. (e.d. accreditation scope, signed letter by Test Laboratory)
- The Test Laboratory has to be accredited for the applicable standards (e.g. EN 54-series or the EN 50131-series, or EN 50136-series). An accreditation only to the standard defining the condition (like EN 50130-4, EN 50130-5, etc.) is not acceptable.
- The Test Report has to show compliance with the applicable standards, with respect to security grade and environmental class.
- The Test Report has to show test results according to the acquired current standard.
- In general: Test Reports older than 10 years are not accepted.

## 6 Termination (expiration), reduction, suspension and withdrawal of Certificates

The certificates issued by Kiwa FSS Products under ISO/IEC 17065 accreditation can get a change in their active status, due to changes in the prerequisites for certification, when a non-conformity with the certification requirements is substantiated or when the client requests for changes.

### 6.1 Termination (expiry) of certificates

#### 6.1.1 Cases when a certificate terminates (expires)

Certificates issued by Kiwa FSS Products will expire in the following cases:

- The expiry date mentioned on the certificate has been passed
- The certificate has been replaced by another certificate (follow-up)
-



- The product permanently ceases to comply with the certification requirements (essential requirements)
- The certificate has been suspended by Kiwa FSS Products
- The certificate has been withdrawn by Kiwa FSS Products
- Termination of the certificate has been requested by the certificate holder (Kiwa FSS Products will withdraw the certificate)

### **6.1.2 Termination procedure**

Termination is within Kiwa FSS Products an automated process performed by the Certification Program (CP) after the each of the cases as mentioned in section 6.1.1. Terminated certificates will be indicated on the Kiwa FSS Products website as expired, by showing the expiry date as applicable.

Note that termination of a certificate follows directly after suspension and withdrawal of a certificate.

## **6.2 Reduction of certificates**

### **6.2.1 Cases when the scope of a certificate will be reduced (or extra conditions will be added)**

Certificates issued by Kiwa FSS Products will be reduced in scope in the following cases:

- One or more product variants permanently cease to comply with the certification requirements (essential requirements)
- Expiry date has to be lowered or introduced due to change in the applicable normative (harmonised) standard(s)
- Continuation of the certification under extra conditions specified by the certification body (e.g. increased surveillance).

### **6.2.2. Reduction procedure**

To reduce the scope of a certificate and or add additional requirements the following steps have to be taken:

1. A follow-up certificate has to be issued with reduced scope and or extra conditions, hence the previous certificate will terminate.
2. The certificate holder has to be informed in writing (including notice of possible point of view, appeal or complain procedure where applicable)
3. The applicable notifying authority or scheme holder has to be informed as specified in the applicable Kiwa FSS Products certification scheme.
4. If required according the applicable certification scheme, other Notified Bodies have to be informed as specified in the applicable scheme.





## 6.3 Suspension of certificates

### 6.3.1 Cases when a certificate will be suspended

Certificates issued by Kiwa FSS Products will be suspended in the following cases:

- A nonconformity with certification requirements is substantiated, either as a result of surveillance or inspection or otherwise
- The certificate holder or manufacturer indicates that the product (or any variant ) can temporarily not comply with the certification requirements (essential requirements)
- Complaints are received, from e.g. the purchasers, regarding approved and marketed products and these complaints are substantiated by supplementary examinations that reveal non-compliances
- Suspension is requested by the national notifying or market surveillance authorities, who have the power to supervise and enforce the Law (i.e. Ministry of BIZ)
- Suspension is requested by the scheme owner
- Markings (e.g. CE, Wheelmark, Certalarm, INCERT, FCC logo, IC logo, Japan giteki mark) are unintentionally misused by the certificate holder
- The conditions laid down in the (harmonized) technical specification in reference are modified significantly, for which the certificate holder has to implement corrective actions.
- The manufacturing conditions in the factory or the FPC itself are modified significantly, for which the certificate holder has to implement corrective actions

### 6.3.2 Suspension procedure

If an issued certification has to be suspended the following steps have to be followed:

1. One or more persons, competent in their knowledge and understanding of all aspects of handling of suspended certifications, have to be assigned to inform the client in writing ("aangetekend" if required by the applicable scheme) of the suspension.
2. The assigned persons have to formulate and inform the certificate holder in writing of the following:
  - The substantiated nonconformities which have been found (the reason for suspension).
  - Actions needed by the approval holder to end suspension and restore certification for the product(s) in accordance with the certification scheme. These actions have to consist at least of a root cause investigation and corrective action plan.
  - The manufacturer may no longer apply markings to *any* product involved.
  - Any other actions required by the certification scheme.
  - Notice of a possible point of view, appeal or complain procedure where applicable for the applicable scheme(s)
3. The applicable notifying authority or scheme holder has to be informed as specified in the applicable Kiwa FSS Products certification scheme.
4. If required according the applicable certification scheme, other Notified Bodies have to be informed as specified in the applicable scheme.
5. Follow the automated suspension procedure in the Certification Program (CP)



### 6.3.3 Reinstating suspended certificates

To reinstate a suspended certificate the certificate holder has to provide root cause investigation and corrective action report. This report has to be assessed by the assigned persons as indicated in the previous section 6.3.2.

Any evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, shall be completed in accordance with RQ\_100.

A follow-up certificate has to be issued to reinstate the certification. This way a valid certificate for the applicable product (and variants) will appear on the Kiwa FSS Products website.

## 6.4 Withdrawal of certificates

### 6.4.1 Cases when a certificate will be withdrawn

Certificates issued by Kiwa FSS Products will be withdrawn in the following cases:

- The product can not (or no longer) comply with the certification requirements (essential requirements)
- The conditions laid down in the (harmonized) technical specification in reference are modified significantly and cannot be addressed by the certificate holder / manufacturer
- The manufacturing conditions in the factory or the FPC itself are modified significantly and cannot be addressed by the certificate holder / manufacturer
- Markings (e.g. CE, Wheelmark, Certalarm, INCERT, FCC logo, IC logo, Japan giteki mark) are abused by the certificate holder
- The certificate was granted on the basis of false, fraudulent or misleading data and or documentation
- The withdrawal is requested by the national notifying or market surveillance authorities, who have the power to supervise and enforce the Law (i.e. Ministry of BIZ)
- The withdrawal is requested by the scheme owner.
- Termination of the certificate has been requested by the certificate holder

### 6.4.2 Withdrawal procedure

If an issued (and possible suspended) certification has to be withdrawn the following steps have to be followed:

1. One or more persons, competent in their knowledge and understanding of all aspects of handling of suspension or withdrawal of certifications, have to be assigned to inform the client in writing (“aangetekend” if required by the applicable scheme) of the withdrawal.
2. The assigned persons have to formulate and inform the certificate holder in writing of the following:
  - The substantiated nonconformities which have been found or any other reason for withdrawal.
  - The manufacturer may no longer apply markings to *any* product involved.
  - The manufacturer may no longer use the withdrawn certificate to market and or sell his product.



- Any other actions required by the certification scheme.
  - Any actions demanded by the notifying authority or scheme holder
  - Notice of a possible point of view, appeal or complain procedure where applicable for the applicable scheme(s)
3. The applicable notifying authority or scheme holder has to be informed as specified in the applicable Kiwa FSS Products certification scheme.
  4. If required according the applicable certification scheme, other Notified Bodies have to be informed as specified in the applicable scheme.
  5. Follow the automated withdrawal procedure in the Certification Program (CP).

## 7 Continuous Compliance

The procedure at Kiwa FSS Products for Continuous Compliance, as defined in the CertAlarm Scheme consists of product checks and Factory Production Control.

## 8 Modifications of the certificate

### 8.1 Types of modifications

One or more of the following types of modifications of the certificate may occur.

*Modifications of an administrative nature:*

- Changes to the details of the certificate holder;
- Change of certificate holder;
- Alteration/addition of a type designation and/or trademark.

*Modifications of a technical nature:*

- Addition of new product variants;
- Modification of product hardware/software;

### 8.2 Changes to the details of the Certificate holder

In this case, the certificate holder remains the same, but there are changes, for example, to his address, fax number or telephone number. The certificate holder could inform Kiwa FSS Products of the administrative changes.

*Comments*

This modification does not affect the Certificate. Kiwa FSS Products will record the new details and send the applicant a confirmation, which should be kept with the Certificate. Certificates already issued remain valid.

### 8.3 Change of Certificate holder

The Certificate is drawn up in the name of the certificate holder and is not transferable without the intervention of Kiwa FSS Products. The name of the certification-holder can, however, be changed, in which case the new certification-holder automatically assumes all the responsibilities and obligations applicable under the issued certificate in question.



*Comments*

The original holder of the certificate(s) must notify Kiwa FSS Products in writing that the product should be transferred to the name of the new certificate holder. All the type designations and certificate numbers to which the transfer applies should be listed.

The new holder of the certificate(s) should inform Kiwa FSS Products in writing that he is taking over the certificate(s) in question, and should list all the types and certificate numbers. He should also declare, and if necessary demonstrate, that he will fulfil all the responsibilities and obligations applicable under the original certificate.

In case of a Certificate of Conformity or a Certificate of Continued Compliance the new certificate holder draws up a Declaration of Conformity to Type for each type and sends a copy to Kiwa FSS Products. Additional information about the Declaration of Conformity to Type is given in Annex B of this document. Furthermore a new contract for the surveillance has to be closed between the new certificate holder and Kiwa FSS Products. In case the products are manufactured in a different factory as before a initial FPC audit is required before the Certificate of Continued Compliance will be issued on the name of the new certificate holder.

If the new certificate holder demonstrates that he meets all the relevant requirements, Kiwa FSS Products will issue a certificate, in which the details of the new certificate holder are stated.

#### **8.4 Alteration/addition of a type designation and/or trademark**

*Alteration/addition of a type designation and/or trademark* means that the hardware or software remains unchanged but the type designation and/or trademark under which the product is marketed is replaced by, or extended with, a new type designation.

*Comments*

In this case, the old type designation and/or trademark are replaced by a new one. It is also possible to market a product under both the old and new type designation and/or trademark. This applies to OEM products.

The certificate holder could notify Kiwa FSS Products in writing of the alteration or addition of the type designation and/or trademark and declare that the new type(s) are identical to the already certified type. He should also indicate the old type designation and/or trademark and the certification/registration number and new type designation and/or trademark.

An addition to the certificate will be issued to the certificate holder. All the relevant type designations and/or trademarks are listed in an annex to the certificate.

#### **8.5 Addition of new product variants**

*Addition of new product variants* means that a new product variant is added to a type.

*Comments*

It is possible to place several product variants under one certificate, each having its own type designation and/or trademark. However, the variants must form a product family, i.e. the variations in the products must be based on the same design. It must be possible to demonstrate that the variants belong to the same type, e.g. by means of a technical examination by Kiwa FSS Products or Listed laboratory or Accredited Laboratory.



The manufacturer or importer draws up a *Declaration of conformity (to type)* and sends a copy to Kiwa FSS Products. Kiwa FSS Products issues an addition to the certificate, in which the relevant type designations and/or trademarks are listed.

## 8.6 Modification of product hardware/software

This clause provides guidance on how to act in case of modifications to product hardware/software. In case these modifications would lead to a change in hardware/ software version numbers, these changes need to be notified to Kiwa FSS Products.

### *Comments*

Based on the supplied information Kiwa FSS Products will determine whether or not the modifications are affecting the compliance of the product to the technical requirements. If the modifications are

affecting the compliance of the product (additional) tests and documentation is needed. In this case a new certificate will be issued.

When it is determined that the modifications are not affecting the compliance of the product only the new hardware and or software numbers will be registered for surveillance purposes.

If you are in any doubt, contact Kiwa FSS Products.

## 9 Publication and reproduction

### 9.1 The public available information

Application to this certification scheme entitles Kiwa FSS Products to make the following information available to any third party via the World Wide Web or any other means:

- Name of certificate-holder;
- Certification/registration number;
- Name of manufacturer;
- Name of trademark;
- Name(s) of product type (type designation);
- Type of certificate;
- List of standard(s) tested.

### 9.2 Reproduction of the Certificate

The certificate-holder is entitled to make reproductions of the Certificate.