



# Regulations for Testing and Certification of SLG Prüf- und Zertifizierungs GmbH

Edition: 10/2009

## 1. Scope

These Regulations for Testing and Certification shall apply for all product tests and certifications, as well as factory surveillances, of SLG Prüf- und Zertifizierungs GmbH (hereinafter referred to as "SLG").

## 2. Regulations for Testing

- 2.1 At the latest with conclusion of the contract, the client shall submit one or several samples of the item to be tested to SLG as well as all documents required for the performance of the product tests. This includes in particular all documents referred to in the SLG quotation and in further documents forming the basis of the contract.
- 2.2 All documents submitted remain with SLG. The client is responsible to make copies for his own records.
- 2.3 The test procedure starts after receipt of the test sample(s) and all required documents. As a principal, applications are processed in the order of their arrival and of the receipt of the test samples.
- 2.4 The items to be tested shall be specified with regard to their design type, current, voltage and output. Circuit and construction diagrams shall be provided, and if applicable, a statement concerning the intended purpose and product classification. In case the certification process involves a factory inspection the application documents shall include a filled-in Factory Inspection Questionnaire. Forms are available at SLG.
- 2.5 The tests are conducted in the accredited test laboratories of SLG, in the laboratories of SLG's cooperation partners or at the premises of the manufacturer. SLG determines the actual test location.
- 2.6 In case the certification process involves a factory inspection, SLG shall inspect the production premises at the expense of the applicant in order to ascertain whether the facilities are technically equipped and managed such that a consistent quality standard can be guaranteed.
- 2.7 After completion of the test procedure the client receives a test report and an invoice. In case of a positive test result and compliance with all other requirements a certificate may be issued on application.
- 2.8 As a general procedure, the testing body labels all submitted test samples on receipt, and either places them in storage or returns them to the client at the latter's expense after testing. In the latter case, the client shall on first demand grant the testing body access to the test samples at any given time or shall provide them to SLG on first demand free of charge. The client is obliged to keep the test samples and associated documents for the validity period of the certificate. SLG creates adequate documentation of the test samples.
- 2.9 SLG shall not be liable for the loss of test samples or for damages to test samples through no fault of their own caused during the testing period, e.g. as a result of burglary, theft or damage by fire or water.
- 2.10 In case of refusing a mark approval, SLG shall account to the applicant in writing for their reasons. SLG shall not be liable for any disadvantages accruing to the applicant as a result of the refusal. Any new application submitted later than 6 months after the refusal of the mark approval shall require a completely new test including a new application.
- 2.11 Upon application by the client or on their own initiative, SLG may perform the following tests and take the following measures:
  - retests in case of standard changes in order to ascertain compliance of the formerly approved products with the new stipulations,
  - inspections (random checks) of approved products to ascertain whether the latter comply with the requirements,
  - pre-shipment inspections,
  - production inspections (also lot-by-lot),



- restriction of certificate scopes to production lots.

2.12 On separate agreement, SLG performs other services for the client in the fields of testing and furnishing expert opinions. Client-specific requirement may be considered, provided that no regulations or standards oppose them.

### 3. Regulations for certification

3.1 Clients having acquired a positive test result in the product test as well as the factory assessment including a certificate shall become partners in the SLG certification system and thus, certificate holder. The client thus becomes subject to periodic inspections and checks by SLG.

3.2 The entitlement to use the test mark shall apply only to the certificate holder and exclusively relates to those production facilities and products stated on the certificate. The certificate shall be valid for the period stated on the certificate.

3.3 For maintaining certificates, which are subject to surveillance, advance payment of fees shall be effected in accordance with the contractual stipulations and the SLG fee scale. The payment entitles the client to use the given mark observing the SLG Mark Statute within the calendar year for which payment has been effected.

3.4 The SLG Mark Statute determines in detail the rights to use SLG marks. The mark statute may be sent to the client on request. It can also be viewed at "www.slg.de.com".

3.5 The certificate holder shall constantly ensure that the production of the certified products complies with the test stipulations and shall conduct the checks determined in the factory inspection (surveillance checks and checks of single items) in due form.

3.6 The awarded certificate and an entitlement to use test marks derived thereof shall only be valid if the client is able to furnish proof that all prerequisites are fulfilled which are to be observed by the latter during the production of technical equipment and consumer products ready for use in order to guarantee their compliance with the tested sample. All changes in technology and design require the consultation and approval of SLG. In case of unacceptable deviations the awarded certificate and the entitlement to use test marks derived thereof shall not be valid for the modified products. Furthermore, SLG shall be entitled to take measures according to paragraph 3.9.

3.7 On the occasion of the initial production facility inspection performed at the expense of the applicant, a report shall be prepared and a schedule stipulated by SLG for routine checks of the production (follow-up service). The standard inspection cycle is 12 months. After each regular factory inspection the certificate holder shall receive a report on the findings (also for follow-up).

3.8 Certificates subject to surveillance shall expire in case the certificate holder terminates the mark approval by November 15<sup>th</sup> of the current year or if the rules of technology forming the basis for the certificate no longer justify a presumption of conformity or if the standards stated on the certificate have changed as much that the presumption of conformity expires.

3.9 The certificate including the entitlement to use test marks derived thereof may be withdrawn, suspended, restricted or revoked by the certification body if

- it contravenes the legal provisions and current decisions of the working groups (Erfahrungsaustauschkreise) of the certification bodies/ Notified Bodies (amongst others GPSG-ZEK, MPG-EK-Med, CTL Decision Sheets),
- the client uses the test / certification mark for inadmissible advertising purposes,
- defects not detectable at the time of the test become evident at a later date,
- the products labelled with the test mark differ from the approved test samples,
- the certificate holder refuses the performance of factory inspections,
- the certificate holder does not allow SLG the inspection of production facilities or test equipment or the assessment of products,
- deficiencies are found in quality assurance,
- the client fails to pay fees by their due date,
- compliance with the tested samples can no longer be guaranteed.

As a result of any measures taken by SLG the certificate holder shall forfeit his entitlement to continue identifying products with the test mark.



SLG is entitled to make public a declaration of invalidity for the certificate and the entitlement to use the test mark.

- 3.10 In order to ensure that the product properties stated on the certificate are maintained, the certification body conducts routine checks on samples taken from the production line in accordance with contractual stipulations at the expense of the certificate holder. For this purpose, the certification body can draw products from the client's stocks free of charge, or from third parties at their own expense. In case of non-compliance with the technical requirements, the certificate holder shall bear all resulting costs.
- 3.11 The certificate holder is aware that CB certificates are registered in the public area of the IECEE database and CE declarations of conformity according to Medical Device Directive including status changes in the public area of the DIMDI database.
- 3.12 The client has the right to file objections or complaints with SLG in particular against SLG's decisions and determinations. Objections and complaints shall be processed in accordance with the procedures stipulated in SLG's QM system.

#### **4. Publication of test and certification documents**

Test and certification documents and expert reports shall only be reproduced in their complete wording and with the date of issue specified. A publication in part shall require written approval by SLG. SLG holds all proprietary rights on aforementioned documents.

#### **5. Infringements of the Regulations for Testing and Certification**

In case of infringements of the present Regulations for Testing and Certification or of the SLG Mark Statute by the certificate holder, in particular, in case of unlawful or improper use of SLG certificates and/or marks, SLG is entitled to take appropriate measures resulting in a restriction, suspension or withdrawal of both the certificate and the entitlement to use the mark.

#### **6. Coming into effect and amendment of the Regulations for Testing and Certification**

- 6.1 The present Regulations for Testing and Certification come into effect on October 1st, 2009.
- 6.2 The present Regulations for Testing and Certification are subject to constant changes, e.g. due to changes of legal stipulations, accreditation regulations as well as the generally acknowledged rules of technology and relevant standards and directives. Therefore, in each case the current version of these regulations shall apply.