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**BABT766**      **Sources of Test Reports for TÜV SUD BABT  
Product Certification**

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TUV SUD BABT is a Certification Body of



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### 1 Introduction

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Details the general criteria for recognised sources of test reports which may be used as a part of a technical documentation file to support an application for certification.

This should be read in conjunction with the TUV SUD BAPT Testing and Certification Regulations (a copy which can be found [here](#)) and the Scheme Guide relevant to the certification sought.

### 2 Background

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TUV SUD BAPT has certain obligations laid upon it under the terms of our various regulatory appointments with respect to acceptance of test reports.

For our accredited non-regulatory certification schemes, we are required to have a clear policy for the acceptance of test data to ensure fairness and integrity.

### 3 General

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TUV SUD BAPT provide as much flexibility as possible for the acceptance of test reports, consistent with a clear demonstration of the integrity and competence of the test resource used. The national accreditation status and any previous TUV SUD BAPT experience with test laboratories will be considered as far as possible.

The categories of acceptable test resource, together with a summary of the competence criteria they must meet, are detailed below.

**Table 1: TUV SUD BAPT Scheme Type versus Acceptable Test Report Source**

#	Testing Lab vs Acceptance for:	Accredited for Standards listed under EC-Directive	Accredited for the Standards used	Accredited for the broad characteristics <u>but not</u> for the Standard used	CB Lab	No Accreditation but has used Standards in their entirety	Other
1	RED Annex III EMC technical file MarED (Mod B and F) Machinery UK Marine Approval	1	1	2	6	3	4
2	Japanese Approval	1	1	1	0	0	1
3	Microgeneration Certification Scheme (MCS)	0	5	5	0	5	0

RED = Radio Equipment Directive;  
EMC = EMC Directive; MarED = Marine Equipment Directive; Mach = Machinery Directive

**Legend:**      0:      Not applicable or not acceptable.  
                    1:      Accepted provided they are accredited by a National Body.

- 2: Accepted provided if tested according to standard and follows the same quality process as accredited. (Confirmation of measurement uncertainty and equipment calibration may be required)
- 3: Acceptable after audit is performed
- 4: Acceptable after either a witnessed audit or a detailed documentary audit is performed.
- 5: Scheme specific – see 11 below
- 6: Acceptable provided the test facility is listed on the IEC website with the appropriate scope.

## **4 Laboratories Within the TUV Product Service Group**

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For all our Regulatory appointments and accredited schemes TUV SUD BABT is not permitted to differentiate between test facilities from within the TUV Product Service group and other independent laboratories.

The major benefit in using one of these laboratories is their close understanding of our requirements, and that if investigation of competences or testing is required, this can be performed directly on-line saving time.

## **5 Independent Laboratories**

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It is recommended that independent laboratories are nationally accredited to ISO/IEC 17025 with a scope appropriate to the testing required to support the certification application.

TUV SUD BABT check test reports for the presence of the appropriate accreditation logo or statement. If this is present we presume the testing was conducted with due diligence but will check all the appropriate tests have been conducted.

If an accredited laboratory tests to a standard (or version of a standard) which is not on its schedule (but is within its technology area), it is not permitted to reference this accreditation in the report. In such cases, TUV SUD BABT must check for deviations from the test methods required in the standard used, and deviations from the accredited quality system of the testing laboratory.

If a test laboratory tests to a technology area outside its normal competence (e.g. An EMC laboratory performing radio testing) then TUV SUD BABT must perform extensive checks to ensure the competence and performance of the testing is sufficient.

TUV SUD BABT do not recommend that an independent test facility without any accreditation is used. However, if the Certification scheme permits you to use such a facility we advise you to contact TUV SUD BABT in advance of testing to ensure that the report has all the required information.

For laboratories with accreditation, the maintenance of the accreditation status will be undertaken by the National Accreditation Body. TUV SUD BABT perform periodic checks on the overall accreditation status, and on the known testing outside scope. Unless there are concerns over the quality of test reports from a source TUV SUD BABT do not check the source of the report for at least one year

## **6 Manufacturers In-House Testing Facilities**

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Manufacturers' own laboratories or test facilities must meet the general requirements of ISO/IEC 17025 with a scope appropriate to the testing required to support the technical documentation file for the certification application. This may include Telecom, Radio, Safety, EMC or product specific standards. If the laboratory is working within the scope of a ISO9001, certification from an accredited certification body, EU Module H, or Full Quality Assurance approval granted by an EU Notified Body, this will be considered.

Maintenance of the recognition status will be based on either regular audits undertaken either by TUV SUD BABT, a National Accreditation Body or the EU Notified Body, or by having the testing witnessed by personnel appointed by TUV SUD BABT.

TUV SUD BABT will consider minor extensions to testing capability on a documentary basis or by witnessing the tests conducted.

## **7 Other Test Resources**

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Test reports produced under the control of other established assessment schemes for telecom, radio, EMC or safety compliance using independent or manufacturers' in-house testing, and which provide an equivalent degree of confidence, will also be considered.

Test resources falling within this category can vary considerably in terms of organisation, structure, testing activities etc. and therefore each will be considered for recognition on its merits. The basic competence and integrity criteria must be met but due regard will be taken of any formal accreditation status and previous involvement with TUV SUD BABT. Maintenance of the recognition status of such test resource may involve TUV SUD BABT in the audit activities.

If you have any queries, particularly regarding the acceptability of test resources falling into the “other” category, please contact TUV SUD BABT.

## **8 FCC Testing**

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The FCC requirements for sources of test reports are specified in the latest FCC Document 641163, TCB Program Roles and Responsibilities. The FCC Rules and interpretations provide the definitive guidance.

## **9 ISED Testing (Industry Canada)**

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ISED requirements for sources of test reports are specified in document REC-LAB (Procedure for the Recognition of Designated Foreign Testing Laboratories).

If radio apparatus testing involving an Open Area Test Site (OATS) is used then the test site must be registered with ISED, who require the following:

- Test reports not dated later than 12 calendar months before the date of the of the application.
- Reports are compliant to the version of the standard which was current at the start of test. (If this is not the current version then an exhibit is required transposing the results to the version current at the time of application).

When a new ISED standard is published, it comes into immediate effect and FCB’s must be assessed against that new standard. Test laboratories are expected to test against that standard even if it is outside the scope of their accreditation. Test laboratories have until their next accreditation audit to update their accreditation schedule.

TUV SUD BABT policy is to accept test reports to a new version of a standard within a year of publication provided the previous version of that standard is on the test laboratory's accreditation schedule.

## **10 Testing for Japan Certification**

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Test reports are expected to be issued by an ISO 17025 accredited test facility.

The report shall contain all the required technical aspects listed under the appropriate clauses of ISO 17025. The report shall either include or be accompanied by evidence that the test facility has relevant National accreditation or has TUV SUD BABT recognition for Japan Certification. The equipment used for testing shall be identified and the calibration dates listed. All tests must have been performed within the validity of the equipment calibration period.

## **11 Testing for the Microgeneration Certification Scheme (MCS)**

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Test reports are expected to be issued by an ISO 17025 accredited test facility. See MCS011 for additional requirements.

If testing has been carried out by an independent, third party, test laboratory, which was not accredited for the testing standard, see MCS011.

If testing has been carried out at the manufacturers testing facility, see MCS011.

## **12 Use of Non-Accredited Test Facilities**

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TUV SUD BABT has a responsibility to ensure that test reports are issued under an ISO 17025 compliant quality management system.

Test facilities which do not hold a formal ISO 17025 accreditation for the standard(s) can be accepted by contacting TUV SUD BABT. Consideration will be given to whether the lab operates a recognised quality management system such as ISO9001, if documented test methods are used, whether a 4-eyes principle is followed for the acceptance of test results etc. TUV SUD BABT may be satisfied if the requirements of ISO 17025 are met even without formal accreditation by a recognised accreditation authority.

This relates to the following certification schemes:

- Radio Equipment Directive
- EMC Directive
- Marine Equipment Directive
- Microgeneration Certification

Assessment for TUV SUD BABT recognition may involve an on-site audit.

If recognition of a test facility (or in part) involves a TUV SUD BABT assessment or audit, then it will be subject to an annual assessment or audit by TUV SUD BABT. A satisfactory conclusion to the assessment/audit and timely resolution of any findings will be a condition for ongoing recognition by TUV SUD BABT.

If recognition of a test facility (or in part) involves a TUV SUD BABT audit, the test facility must obtain TUV SUD BABT agreement to any changes to the recognised facility or the scope of its operation prior to producing test reports to support TUV SUD BABT Certification.

For cases where testing is carried out infrequently, witnessed testing may be preferred to an assessment against ISO 17025. In such cases, contact TUV SUD BABT.

Assessment for the Microgeneration Certification Scheme (MCS) involves both an on-site assessment of the test laboratory and witnessed testing.

A fee is charged to cover TUV SUD BABT's assessment/audit/witness costs.