

**300-003**

## **DGUV Grundsatz 300-003**

### **DGUV Test Rules of Procedure for Testing and Certification**

Part 1: Certification of Products, Processes  
and Quality Management Systems

## Imprint

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This document is a translation. In any  
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# **DGUV Test Rules of Procedure for Testing and Certification**

Part 1: Certification of Products, Processes and Quality  
Management Systems

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# 1 General Rules

## 1.1 Area of Application

These Rules of Procedure for Testing and Certification apply to the conformity assessment procedures of the Testing and Certification Bodies within DGUV Test in the areas of products, processes, quality management systems (QM systems) and quality assurance systems (QA systems)<sup>1)</sup>. Conformity assessment procedures in this respect relate especially to the requirements of health and safety protection.

These Rules of Procedure do not apply to the certification of persons.

## 1.2 Terms and Definitions

### Application

Declaration in text form containing all information required in order to conduct the conformity assessment procedure in full.

### Auditing

Audit procedure/process for QM and QA systems with regard to the satisfaction of set requirements.

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<sup>1)</sup> The relevant testing areas of DGUV Test can be found on the internet at [www.dguv.de/dguv-test/pruefgebiete](http://www.dguv.de/dguv-test/pruefgebiete).

## Type Testing

Testing of a representative sample with regard to consistency with technical documents and defined requirements based on principles of testing, standards and/or legal provisions.

## Re-Testing

Testing of the type

- in case of modifications to health and safety protection requirements
- in case of modifications to the product manufactured  
or
- upon expiry of the validity of the certificate for the purpose of issuing a new certificate (conclusion of a new contract is necessary).

## Principles of Testing

Document containing specific requirements for products, processes and systems and/or a procedure for the verification of those requirements.

## Testing

Establishment of defined characteristic values for products and processes.

## Certificate Holder

Holder of a certificate issued by DGUV Test in accordance with Chapter 3.2.

## Certification

Preparation of a statement on conformity by the Testing and Certification Body with regard to products, processes, QM and QA systems.

## Certification Programme

Compilation of certification requirements. Based on this principle it can also exist in combination with Principles of Testing.

### 1.3 Testing and Certification Bodies

With the exception of the Testing and Certification Body for the Ship Safety Division, the Testing and Certification Bodies are facilities of the German Social Accident Insurance Association (Deutsche Gesetzliche Unfallversicherung e.V. [DGUV]). The DGUV Test Testing and Certification Body for the Ship Safety Division is part of the BG for Transport, Traffic, Post Logistics and Telecommunications (BG für Verkehrswirtschaft Post-Logistik Telekommunikation [BG Verkehr]) and cooperates with DGUV within the context of DGUV Test.

DGUV Test is a trademark of DGUV. The Testing and Certification Bodies are organized in a decentralized manner and act independently within the scope of the responsibilities assigned to them. The Testing and Certification Bodies of DGUV Test are conformity assessment bodies for the testing and certification of products, specific aspects and processes and for the auditing and certification of management systems. As a matter of principle, the Testing and Certification Bodies are accredited, appointed and/or notified for their conformity assessment responsibilities.<sup>2)</sup>

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<sup>2)</sup> Accreditations can be searched in the DAkKS database on the internet at <http://www.dakks.de/content/akkreditierte-stellen-dakks>. An overview of the GS Bodies and/or notified bodies within DGUV Test can be found on the internet at [www.dguv.de/dguv-test/notifizierungen](http://www.dguv.de/dguv-test/notifizierungen).

## **1.4 Impartiality and Non-Discriminatory Terms**

The Testing and Certification Bodies work impartially. The conformity assessment procedures of the Testing and Certification Bodies are available to all interested persons. The Testing and Certification Bodies afford equal treatment to all persons submitting applications.

## **1.5 Confidentiality und Data Protection**

The Testing and Certification Body agrees to keep in confidence the business and trade secrets as well as all personal data it obtains within the context of the application for and the provision of performance. For testing and certification purposes DGUV solely deploys staff members upon whom a confidentiality obligation relating to business and trade secrets has been imposed.

The Testing and Certification Body is entitled to store in data files on data media and/or on paper, and to use and process within the scope of its responsibilities, all data and results obtained in connection with the testing and certification, e.g. model specification and measuring results.

The Testing and Certification Body may publish data and results in anonymous form. Insofar as the Testing and Certification Body is under a corresponding statutory obligation or insofar as permitted by these Rules or a contractual provision, the Testing and Certification Body may inform other offices and authorities about results and certificates, in particular about the refusal, limitation, suspension or revocation of a certificate. In the above-mentioned cases, the public shall only be informed in case of a statutory obligation. The Certificate Holder or Applicant shall be informed about this information provided, unless otherwise regulated by law.



Insofar as the Testing and Certification Body is under a corresponding statutory obligation, it shall inform other notified and/or appointed bodies about the negative and positive results of conformity assessments. Insofar as a legal provision imposes an obligation, the Testing and Certification Body shall provide information to the competent authorities about the tests and certification in an individual case. The Certificate Holder and/or the Applicant shall be informed accordingly, unless otherwise regulated by law.

The Testing and Certification Body is entitled to enable experts of the accreditor and experts of the authority granting permission to inspect the documents and to participate in tests.

## 2 Procedure

### 2.1 Submission of an Application

Tests, audits and certifications shall be requested in writing from the relevant Testing and Certification Body. Information about the documents to be attached is available at the Testing and Certification Body. The documents have to be written in the German language. Foreign documents have to be translated. The Testing and Certification Body may require that the translation be prepared by a publicly appointed and sworn, qualified translator.

As a matter of principle applications are processed within the framework of available capacities, in the sequence in which they are received.

The Applicant shall inform the Testing and Certification Body before conclusion of the contract if the product/system intended for testing/auditing was already the subject-matter of a comparable contract at a different GS Body or an appointed and/or notified office.

A contract shall be brought about by a contractual document signed by both sides.

### 2.2 Scope of Conformity Assessments

The scope of the conformity assessment is set out in the relevant contract. The scope includes, in particular:

- a. Testing of products or of specific aspects for compliance with Principles of Testing, standards and/or legal provisions.
- b. EC and/or EU type examination in accordance with EU legislation.
- c. Type examination in accordance with the German Product Safety Act (ProdSG) and GS certification with issuance of a GS mark.
- d. Type examination for compliance with Principles of Testing, legal provisions, standards and other health and safety requirements
- e. Certification of products or specific aspects

- f. Certification of processes
- g. Conferring of a DGUV Test Mark or a Eurotest Mark (ET Mark)
- h. Examination of technical documents
- i. Auditing and certification of QA systems
- j. Auditing and certification of a QM system according to DIN EN ISO 9001 as amended at any time, according to EU legislation or other normative documents/legal provisions.

## **2.3 Subcontracting**

The Testing and Certification Body is entitled to cause performance to be provided by third parties. A confidentiality obligation relating to business and trade secrets and personal data of the Applicant will be imposed on such third parties. The Applicant shall be consulted about subcontracting and the involvement of third parties.

# 3 Conformity Assessment Procedures

## 3.1 Product Testing

As a rule testing consists of examination of the documents including operating instructions/instructions for use and Type Testing.

Type Testing takes place at the Testing and Certification Body or, in special cases, at a location to be agreed with that Body. Where testing does not take place at the Testing and Certification Body, the testing premises have to be suitable.

Types ready for operation and/or use shall be made available and delivered free of charge for testing purposes in the quantity indicated by the Testing and Certification Body, together with auxiliary resources and spare parts required. Divergences shall be agreed with the Testing and Certification Body.

Large items for testing may only be delivered after prior agreement has been reached with the Testing and Certification Body. For items dispatched from abroad, the INCOTERM reference “delivery duty paid [to the site of the Testing and Certification Body]” has to be provided.

At the request of the Testing and Certification Body, the Applicant shall ensure that suitable personnel is available in order to handle the items for testing and provide the necessary information.

If the type to be tested has already been delivered to a third party, the Applicant shall obtain a declaration of consent for conducting of the tests from such third party.

The Testing and Certification Body is permitted to access and inspect the place of manufacturing of the product to be tested.