

Testing and certification regulations

General conditions and procedural guidelines for the certification of products in accordance with the DIN
EN 15267-1 standard by the certification body of
TÜV Rheinland Energy & Environment GmbH

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TÜV Rheinland Energy &
Environment GmbH
Am Grauen Stein
D-51105 Cologne

Tel +49 221 806-5200
Fax +49 221 806-1349
Email tre-service@de.tuv.com
Website www.tuv.com

Management and registered
office of the company:

Managing Director: Michael
Ulbricht

Company headquarters: Cologne
Cologne Local Court HRB 56171
VAT ID No.: DE 814653989

Bank: Commerzbank
BIC/SWIFT: DRES DE FF370
IBAN:
DE23 3708 0040 0982 0383 00

0. Preliminary remark

The certification body for QAL1 certifications in accordance with the DIN EN 15267-1 standard of TÜV Rheinland Energy & Environment GmbH (hereinafter referred to as the certification body) offers interested companies its services for the certification of air quality monitoring facilities in accordance with the requirements of the DIN EN 15267 series of standards. In parallel, TÜV Rheinland Energy & Environment GmbH also maintains a testing laboratory accredited in accordance with DIN EN 17025 for carrying out tests on air quality monitoring facilities in accordance with the standards as part of the QAL1 certification programme.

QAL1 certification is a European certification programme that covers air quality monitoring equipment that meets the requirements of relevant EN standards.

The TÜV certification process guarantees and ensures independence and impartiality. The existing structural and procedural organisation of TÜV fulfils the criteria specified by ISO 17065. The organisation and procedure of the certification process are contained in the relevant quality management documents.

1. Scope and terms

These "Testing and Certification Regulations" govern the testing and certification of air quality monitoring equipment (AQME) based on the DIN EN 15267 series of standards, the DIN EN 17255 series of standards, DIN EN 14211, DIN EN 14212, DIN EN 14625, DIN EN 14626, DIN EN 16450, DIN EN 15859, DIN EN 12341, DIN EN 14662-3, VDI 4202-1, VDI 3950-1, VDI 4201-1, VDI 4202-1 and VDI 4203-1 and the uniform federal practice for monitoring emissions – RdSchr. d. BMUV v. 31.7.2023 – AG C I 2 – 5025/001-2023.0001. However, it should be noted that the aforementioned Federal Uniform Practice for Monitoring Emissions does not comply with the certification requirements of DIN EN 15267-1:2023. In the case of contradictions, the current version of DIN EN 15267-1 shall be used as a basis in the testing and certification regulations presented here.

Air quality monitoring equipment (AQME) comprises automatic measuring equipment for monitoring emissions and immissions, as well as long-term sampling systems and electronic evaluation systems.

QAL1 certification is a conformity assessment procedure carried out by an accredited certification body based on the above-mentioned European standards. The certification of a corresponding product is documented with a QAL1 certificate.

The certificate of conformity (QAL1 certificate) is issued by the certification body if the conformity assessment in accordance with the above-mentioned standards establishes that the product complies with the provisions of the relevant standards, that the respective minimum requirements of the documented test requirements are met, and that the manufacturer's quality management system complies with the requirements of DIN EN 15267-2.

The QAL1 certificate is a document issued by the certification body in accordance with the rules of DIN EN 15267-1, taking into account DIN EN 17065, and confirming that a product complies with the specified standards. The certificate can be issued for complete AQME measurement and evaluation systems (emission measuring devices, immission measuring devices, emission evaluation systems and long-term sampling systems).

The QAL1 test report on the technical testing of the measuring equipment is issued by a testing institute accredited in accordance with DIN EN 17025 and is a documented record of the tests and assessments carried out, which requires confirmation by a certification body that the tested product complies with the specified standards.

The associated audit report is a document that documents the results of an on-site assessment of the manufacturer's quality assurance system based on DIN EN 15267-2 by the certification body or an organisation or person designated by the certification body in accordance with VDI 4203-1 (2017).

2. Testing and certification procedures

2.1 Conformity assessment procedure

A conformity assessment procedure is used to determine whether a product complies with the provisions of DIN EN 15267-1 in conjunction with the relevant standards and thus meets the requirements for QAL1 within the meaning of DIN EN 14181.

2.2 Order requirements

To initiate the conformity assessment procedure, the manufacturer submits an application for certification. The application must contain the following information:

- Normative requirements according to which the customer wishes to obtain certification (this refers in particular to the type and scope of application of the AQME to be certified).
- Self-disclosure letter from the customer (name, address, production sites, legal requirements, activities, resources, etc.)
- Information about outsourced processes, boundary conditions for the production of the AQME, OEM products if applicable
- All other information required in accordance with the QAL1 certification requirements.

A form is available for preparing the application, which can also be completed with the support of the certification body if necessary. If the scope of the certification activities has been estimated on the basis of preliminary information and the customer requests a preliminary cost estimate for the certification process, the certification body may prepare a cost quotation without the application questionnaire. If the customer then wishes to continue the process, the application questionnaire must be completed. A contract for the certification activities is only concluded upon order confirmation by the certification body.

2.3 After successful application review, the certification body shall, if necessary, submit an offer or an updated offer to the customer for certification of the relevant AQME. If the application review leads to a negative result, the certification body informs the customer of the reasons that led to this decision. The customer can then decide whether to revise the application, submit a new application or refrain from certification. If an offer for certification is prepared, this offer, in conjunction with the application form and in addition to the cost breakdown, contains the information required for certification of the AQME, such as applicable standards, regulatory and other normative documents specifying the QAL1 requirements and the associated assessment methods and procedures.

Based on these data, the customer can request a corresponding offer from a testing laboratory accredited in accordance with DIN EN ISO/IEC 17025 for these activities for the suitability testing of the AQME, as well as a preliminary schedule and a test plan for the testing. The offer also contains the time frame for the specific tasks. These testing activities include activities such as documentation review, laboratory tests, field tests and reporting in accordance with the relevant standards and are carried out by the accredited testing laboratory (e.g. the corresponding testing laboratory of TÜV Rheinland Energy & Environment GmbH).

If the customer already has complete test documentation (test report, manual, any applicable documents and audit report in accordance with DIN EN 15267) from a testing institute accredited in accordance with DIN EN ISO/IEC 17025, the certification body will refer to this when preparing its quotation and will prepare a simplified quotation that includes at least the following points:

- Review of applications for certification
- Review and evaluation of the test report
- Review and evaluation of the applicable documents for the tested product
- Review and evaluation of the manual

- Review and evaluation of the audit report

Based on the offer, the manufacturer (hereinafter referred to as the customer) commissions the QAL1 certification body of TÜV Rheinland Energy & Environment GmbH in writing to test and certify the AQME. By placing the order, the customer confirms that they are the rights holder to the concept, design and manufacture of the product submitted for testing and that no third-party rights, in particular trademark rights, utility model rights and/or patent rights, have been infringed. The certification body is not obliged to verify the accuracy of this information. If a product submitted by the customer for testing is indisputably or demonstrably found to be plagiarised, the certification body is entitled to discontinue the testing and to invoice the customer for the costs incurred. Proof of plagiarism can only be provided by submitting a legally binding final judgement.

2.3.1 By accepting the certification body's offer with the aim of certification, a "contract for testing and certification" is automatically created between the customer and the certification body. These testing and certification regulations form an integral part of the contract. By signing the contract, both contracting parties accept the provisions of these testing and certification regulations.

2.3.2 Testing and certification orders are processed in the order in which the necessary documents and test samples are received.

2.3.3 Technical documents

2.3.3.1 Product tests

Images and other relevant documents in accordance with the list below should, where possible, be submitted to the certification body together with the documentation. The technical documentation must contain the necessary criteria to enable an assessment of the product's conformity with the requirements of the standard. It must cover the design, manufacture and functioning of the product to the extent necessary for this assessment and contain the following:

- a general description of the AQME to be tested,
- overview drawings and, if applicable, gas flow diagrams, assembly overview and images of the product to be certified
- Test reports, assessments carried out, etc., with reference to the standards applied
- Manufacturer's declarations that the product complies with all relevant European standards and/or norms (e.g. CE marking, IP protection class, etc.)

The documentation should be kept to a minimum but must still contain the technical characteristics for assessment. The annexes to these testing and certification regulations must be observed.

Upon request by the accredited testing laboratory carrying out the product testing, two complete test samples (measuring devices, sampling probes if applicable, measuring gas lines, data output, specific test equipment) must be submitted. If necessary, special requirements for preparing the test sample will be communicated. Only for the testing of DAHS in accordance with DIN EN 17255 is the submission of only one test sample sufficient.

2.3.3.2 Conformity assessment

An examination and evaluation of the documentation, such as: procedural instructions, work instructions, labelling, manufacturing, testing, test equipment monitoring, control of defective products and handling of products, as well as design drawings, for plausibility and conformity with the requirements of the standard is carried out as part of the initial assessment of the manufacturer's quality management system.

2.4 Tests/audits

2.4.1 The tests shall be carried out in an accredited testing laboratory (e.g. at TÜV Rheinland Energy & Environment GmbH) or at a suitable external test site or test bench or at the installation site specified by the client, taking into account the requirements of DIN EN ISO/IEC 17025.

- 2.4.2 Partial tests may be carried out at subcontracted laboratories that have the necessary accreditations in accordance with DIN EN ISO/IEC 17025.

In addition to laboratory tests, the tests may also include a fatigue test in the form of a field test lasting several months. The testing institute determines the suitable field test location with the support of the customer. The field test is also carried out by the testing institute at a suitable installation site in accordance with the relevant standards, taking into account DIN EN ISO/IEC 17025. The field test installation for the endurance test and, if necessary, the transport of the test specimens to the field test location must always be carried out by the customer or a service provider commissioned by the customer. The field test can only be started once the customer and the testing institute have confirmed that the AQME has been installed and is functioning in accordance with the standards. The customer is also responsible for uninstalling the test specimens after the field test and for transporting them away.

Once the certificate has been issued or otherwise granted, the test samples submitted will be scrapped, stored securely or returned to the customer for further use or disposal, as agreed with the certification body. The certification body shall decide whether secure storage of a reference sample is necessary for the duration of the storage of the technical documentation. In such cases, the test sample shall be kept in custody by the certification body or handed over to the client for storage with a signature.

In all cases, a test sample backup is made by means of documentation and, if necessary, a temporary sample backup is agreed upon at the operating location of the tested product.

Agreements regarding the whereabouts of test samples whose testing has not resulted in a certificate shall be made with the client on a case-by-case basis. The certification body or testing institute shall not be liable for damage to the test samples caused by testing or by burglary, theft, fire or water. It shall exercise the same care that it would apply in similar matters of its own (§690 BGB).

The costs associated with transport, storage or scrapping of test samples shall be borne by the customer.

- 2.4.3 The results of the tests/audit shall be documented in a written confidential test report/audit report, which shall be provided to the customer. If the test procedure did not reveal any complaints, the test report shall be forwarded to the certification body together with the relevant technical documentation.
- 2.4.4 If a positive decision is made regarding certification, the certification body reserves the right to publish the final test report (not the audit report) alongside the QAL1 certificate on the website "qal1.de".

2.5 Conducting the production facility inspection (audit)

When auditing the QM system and the manufacturing process, the manufacturer must first submit the quality management manual and supplementary documented QM procedures. All these documents should preferably be in German or English. Other languages will only be accepted after prior consultation and corresponding confirmation. In order to check the effectiveness of the QM system in the production process, audits are carried out at the manufacturer's premises in one or more steps. In addition to checking the relevant points of the QM system, random checks of manufactured products (for conformity with the approved design) and manufacturing processes (to ensure consistent quality), including sample tests, may also be carried out.

3. Certificate issuance and use

- 3.1 The certification body checks the results of the conformity assessment for completeness and technical accuracy.
 - 3.1.1 A certificate is only issued in accordance with the DIN EN 15267-1 standard if the tests have not revealed any deviations from the requirements to be taken into account and no relevant defects. Solutions that deviate from the standard must be described, tested and accepted and must not exhibit any relevant defects in their execution.
 - 3.1.2 A QAL1 certificate is only issued if the tests have not revealed any deviations from the minimum requirements to be taken into account. However, deviations may arise that restrict the area of application of a measuring device. These are then shown on the certificate and certification can be achieved if there are relevant applications in which the measuring device can be operated without these restrictions having any influence.
 - 3.1.3 The QAL1 certification body of TÜV Rheinland Energy & Environment GmbH is only accredited for the issuance of QAL1 certificates in accordance with the requirements of DIN EN 15267-1. QAL1 certification is linked to the performance of regular annual production site assessments.
- 3.2 Certificates that can be issued depending on conformity assessment procedures
 - 3.2.1 Only the following certificates can be issued under the DIN EN 15267-1 standard:
 - QAL1 certificate
- 3.3 The customer's authorisation to use the certificate applies only to the complete product as tested and specified in the certificate, for which the certificate holder possesses all rights. A product may be disassembled for shipping to the extent necessary. The conditions must be specified in the assembly or operating instructions.

The customer must ensure through its quality management system that the products from ongoing production continue to meet the product requirements of the applicable test standards. This is also checked as part of the annual surveillance audit. To this end, the customer must take precautions to ensure that the testing and monitoring, including the examination of documentation and records, access to the relevant equipment, location(s), area(s) and personnel, and the customer's subcontractors, as well as the investigation of complaints to the extent provided for in the standard, are carried out. Deviations from this may result in the loss of certification. In addition, observers should be allowed to participate in the audit and surveillance activities where appropriate.
- 3.4 The certification body may impose a contractual penalty in the event of identified violations of the testing and certification regulations, in particular in the event of unlawful use of a mark or certificate. It reserves the right to assert further recourse claims against the customer or abusive users of the mark in court. If the contract is terminated by the contractor due to unlawful use, services rendered and agreed upon shall be remunerated as agreed in the contract. In addition, remuneration shall be paid for services not yet rendered and terminated in accordance with the agreed remuneration as specified in the contract. Unlawful use also occurs if a product is placed on the market with the certification body's mark before the requested certificate has been issued or if it is used for unauthorised advertising.
- 3.5 With the customer's consent, a certificate may only be transferred to third parties by the certification body. A contract must be concluded with the third party prior to the application. The identification number or name of the product must be changed so that the origin of the product can be distinguished.
- 3.6 QAL1 certificates are always valid for a maximum of five years. The respective certificate can be renewed after expiry under the conditions of this document.

- 3.7 A certificate expires if
- the customer waives the certificate,
 - the "Contract for Testing and Certification" is terminated by one of the contracting parties in compliance with the notice periods,
 - the customer becomes insolvent or a petition for bankruptcy filed against them is rejected due to lack of assets, or
 - the provisions on which the certificate is based have been amended or other provisions apply, e.g. due to a change in use.
- 3.8 A certificate may be withdrawn by the certification body if
- hidden defects are subsequently discovered in the product,
 - an inspection of the product marked with the certification body's identification number reveals serious defects,
 - misleading or otherwise inadmissible advertising is carried out in connection with the certificate,
 - the customer refuses or fails to allow production monitoring and does not allow it to be carried out despite a written request from the certification body,
 - due to facts that were not apparent at the time the certificate was issued,
 - the certificate or attestation should not have been issued, or the specified requirements have not been fulfilled within a reasonable or set period of time, or
 - a final and legally binding court ruling has been issued as judicial proof of plagiarism.
- 3.9 The certification body shall publish the expiry or withdrawal of certificates on QAL1.de.
- 3.10 The certification body is entitled to inform the supervisory authorities, accreditation bodies, notified bodies and approval authorities about the issuance, expiry or withdrawal of certificates.
- 3.11 The certification body shall not be liable for any disadvantages incurred by the customer as a result of the non-issuance, expiry or withdrawal of a certificate.
- 3.12 If a certificate is withdrawn, the customer is obliged to remove the test mark from all products of the type in question that are available to them and to enable the certification body or the body commissioned by it to carry out a corresponding inspection. Any costs incurred as a result shall be borne by the customer.
- 3.13 After expiry of the validity period of a certificate, the AQME concerned no longer has the status "QAL1-certified" and may therefore only be used for official regulatory monitoring measures with the express approval of the competent supervisory authorities. A marketing authorisation shall not be granted if the certificate has been declared invalid.
- 3.14 The certification body is entitled to impose a contractual penalty in the event that a test order is cancelled due to proven plagiarism.

4. Verification of production and assembly

- 4.1 In order to ensure consistent product quality, the certification body may, in accordance with the requirements of DIN EN 15267-2, carry out or have carried out regular inspections of the manufacturing and testing facilities at the expense of the certificate holder.
- 4.2 The holder of the certificate will receive a written report on the results of the inspection.
- If the review reveals deficiencies that require a repeat review, the holder of the QAL1 certificate shall bear the costs incurred.

5. Obligations of the certification body

- 5.1 The TÜV certification organisation and the members of the certification body undertake to treat all information made available to them about the client's company as confidential and to evaluate it only for the agreed purpose. Documents made available will not be passed on to third parties without the client's permission. The client may release the certification body from its duty of confidentiality for specific reasons.
- 5.2 If the client wishes to obtain further certification from another certification body on the basis of the QAL1 certification from TÜV Rheinland Energy & Environment GmbH, the client must approve the disclosure of the documents when placing the order.
- 5.3 The certification body shall only be liable to the client or third parties to the extent required by law in cases of intent or gross negligence. Further claims are excluded.
- 5.4 The head of the certification body is obliged to ensure, within the scope of his or her capabilities, that the certification is correctly represented in the client's advertising measures.

6. Cooperation of the customer

- 6.1 The customer shall take all necessary measures to ensure that the production or manufacturing process meets the requirements documented in the relevant standards and that conformity with the technical documentation is guaranteed.
- 6.2 The customer is obliged to continuously monitor the manufacture of the certified products for conformity with the certified type and compliance with the minimum requirements. An inspection carried out with a final certificate does not release the customer from his statutory product liability.
- 6.3 The customer shall notify the certification body of any changes made to the product compared to the design certified on the basis of the test sample, or of any planned or implemented changes to the product. All changes to the certified product must be documented in the technical file for the product, and this documentation must be submitted to the certification body at least two weeks before the annual surveillance audit. Changes to the certified product must always be evaluated and classified in accordance with the requirements of DIN EN 15267-2 before being placed on the market. Depending on the classification of the changes, the customer has the following obligations:

Type 0 changes: Type 0 changes in accordance with DIN EN 15267-2 may be introduced and placed on the market without consulting the certification body. If the changes affect the appearance or identifiability of the certified product, or if the software of the measuring device is affected by the change, the certification body must be informed immediately.

Type 1 changes: Type 1 changes in accordance with DIN EN 15267-2 may be introduced and placed on the market without consulting the certification body if the investigations carried out by the customer have shown that the changes have no significant influence on the performance of the certified product. The tests carried out by the customer must be documented and presented at the next surveillance audit. It is recommended that the documentation be submitted to the certification body for verification before the product with the Type 1 change is placed on the market or that the placing on the market be postponed until after the next surveillance audit in order to avoid any necessary re-testing or recall campaigns.

Type 2 changes: Type 2 changes in accordance with DIN EN 15267-2 may not be introduced without the consent of the certification body and may not be placed on the market without the consent of the certification body. Type 2 changes always require a technical review by an independent testing institute accredited in accordance with DIN EN 17025. The results of this

test must be submitted to the certification body for evaluation.

- 6.4 The continued validity of issued certificates depends on the customer providing evidence of compliance with the standard requirements or on an additional audit. Supplementary audits to the original certificate may be carried out which change or extend certain properties or conditions of use of the certified product. If properties of the certified product documented in the supplementary audit are changed, a new certificate must be issued.
- 6.5 The customer shall notify the certification body in good time of any intended relocation of assessed production facilities or the intended transfer of their company to another company or company owner.
- 6.6 The customer is obliged to report any damage or accidents caused by products tested by the certification body.
- 6.7 The customer must record and archive all complaints relating to its certified product. At the request of the certification body, it must make these documents available and provide information about the measures it has taken to remedy justified complaints.
- 6.8 The customer is obliged to immediately remedy any defects in products that become apparent at a later date and to take appropriate measures to minimise damage to the market. In any case, they must immediately stop marketing the labelled products and inform the certification body.
- 6.9 The customer is obliged to archive certificates, attestations, documents or sample specimens that have been handed over to them for safekeeping for a period of ten years after discontinuation of production of the product or for a period of ten years after the product has been placed on the market, and to make them available free of charge at the request of the certification body. Any additional requirements from other regulations remain unaffected.
- 6.10 The customer may only pass on or publish test reports and certificates in full.
- 6.11 The customer has the option of using the QAL1 test mark in accordance with the instructions published in the certificate. The customer and the certification body must conclude a licence agreement for the use of the test mark.
- 6.12 In the event of suspension, withdrawal or termination of certification, the customer must cease using all advertising materials that contain any reference to the certification and take all measures required in these testing and certification regulations.
- 6.13 The customer shall not use the product certification in any way that could discredit the certification body, nor make any statements about their product certification that the certification body could consider misleading or unjustified.
- 6.14 When referring to their product certification in communication media, such as documents, brochures or advertising materials, the customer must comply with the requirements of the certification body in accordance with the certification agreement and this document;
- 6.15 The customer must keep records of all complaints that have been brought to the customer's attention regarding compliance with the certification requirements and make these records available to the certification body upon request, e.g. as part of the audit or upon request; and take appropriate action in relation to such complaints and any defects discovered in the products that affect compliance with the certification requirements. The measures taken in this regard must be documented.
- 6.16 In addition, the customer must immediately inform the certification body of any changes that could affect its ability to meet the certification requirements.

7. Appeal and complaint procedure

- 7.1 The customer may lodge an appeal or complaint with the certification body against decisions made by the certification body in the course of the certification process that are unsatisfactory to them. The appeal must be submitted to the certification body within 4 weeks of the certificate being issued/sent.
- 7.2 Appeals may be lodged against decisions made by the certification body either in relation to the actual certification decision or at any level of the decision-making process. The appeal must be submitted in writing (e-mail, letter, web form) by the applicant. The QAL1 certification body of TÜV Rheinland Energy & Environment GmbH undertakes that an appeal or the investigation of an appeal will not be considered a disadvantage for the appellant. Complaints

may relate to parts or the entire certification process and must also be submitted in writing (e-mail, letter, web form) by the applicant. The QAL1 certification body also undertakes that the complaint will not be interpreted to the detriment of the complainant. Both the objection and the complaint will be treated as strictly confidential. When submitting a written complaint, the applicant must provide at least the order or certificate number so that their concern can be assigned to the correct process.

- 7.3 The certification body undertakes to confirm receipt of appeals or complaints to the complainant or applicant without delay and to inform them regularly of the status of the complaint or appeal depending on the progress of the investigation. Complaints and appeals may be received by any employee of the QAL1 certification body. The QAL1 certification body undertakes to ensure that the appeal or complaint is handled by a person who was not involved in the certification process.
- 7.4 The decision on the objection or complaint must be made by a member of the certification body who was not involved in the certification process. If the objection or complaint is of a technical nature, a technical assessment must be carried out by a competent person who was also not involved in the certification process before a decision is made. The QAL1 certification body undertakes to inform the appellant or complainant immediately of a detailed written decision on the matter.
- 7.5 If the certification body's reasoning is not acceptable to the appellant or complainant, they have the option of submitting their appeal or complaint directly to the independent steering committee of the QAL1 certification body. The steering committee is impartial and must make a final decision.

8. Transfer of certification results

QAL1 certificates are also issued by other certification bodies with different restrictions or additional requirements in various countries. In addition, national authorities in Europe have the option of defining independent procedures for the state recognition of AQME. Prior to state approval, AQME must first meet the minimum requirements in accordance with the relevant standards. In addition, the requirements for the manufacturer's quality management system must be met. On behalf of the customer, the relevant data from the QAL1 certification process of TÜV Rheinland Energy & Environment GmbH can be transferred to a state certification body in order to obtain state approval. In addition, at the customer's request, the certification body of TÜV Rheinland Energy & Environment can provide the necessary technical and administrative support for the state approval of an AQME.

9. Entry into force and amendments

- 9.1 The testing and certification regulations shall enter into force on 28 September 2026.
- 9.2 They apply in principle to all certificates issued during the period of validity.
- 9.3 Future amendments to the testing and certification regulations may be applied to existing certificates with the written consent of the holders.