

**K21030/04**

Date 2020-05-27

# Alarm Transmission Systems

Process certification scheme for Alarm Transmission Service  
Providers (ATSP)



**Trust  
Quality  
Progress**

# Preface

This Certification Scheme has been accepted by the Kiwa Board of Experts Security, in which all the relevant parties in the field of Security are represented. The Board of Experts also supervises the certification activities and where necessary require the Certification Scheme to be revised. All references to the Board of Experts in this certification scheme pertain to the above-mentioned Board of Experts. This Certification Scheme will be used by Kiwa in conjunction with the Kiwa Regulations for Product Certification, in which the general rules concerning certification are registered.

The purpose of this Certification Scheme is to clarify in which way a declaration of conformity is established regarding the performance-, reliability-, resilience- and security requirements of the assessed alarm transmission system. For both movable and immovable property (e.g. construction sites, mobile security, track & trace). The alarm transmission system (ATS) consists of components and network(s) under control of a Alarm Transmisson Service Provider (ATSP). This certification scheme is based on the European standards in this field of application.

## **Kiwa Nederland B.V.**

### **Kiwa Fire Safety & Security Certification**

Dwarsweg 10  
5301 KT Zaltbommel  
The Netherlands

Tel. +31 88 998 51 00  
NL.info.ncp.fss@kiwa.com  
www.kiwafss.nl

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The use of this evaluation guideline by third parties, for any purpose whatsoever, is only allowed after a written agreement is made with Kiwa to this end.

### **Validation**

This certification scheme has been validated by the Director Certification and Inspection of Kiwa FSS on 27-05-2020

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# 1 Introduction

## 1.1 General

This Certification Scheme includes all relevant requirements which are employed by Kiwa when dealing with applications for the issue and maintenance of a certificate for processes used for Alarm Transmission Systems based on EN50136-1/A1; *Alarm systems – Alarm Transmission Systems and equipment – Part 1: General requirements for Alarm Transmission Systems (ATS)*.

Additionally, the standard EN 50136-3 *Alarm systems - Alarm transmission systems and equipment - Part 3: Requirements for Receiving Centre Transceiver (RCT)* is important for the communication to the Alarm Management System (EN 50518). Also EN 54-21; *Fire detection and fire alarm systems - Part 21: Alarm transmission and fault warning routing equipment* is obliged when Fire Alarm Systems are part of the ATS.

For the performance of its certification work, Kiwa is bound to the requirements as included in NEN-EN-ISO/IEC 17065 “*Conformity assessment - Requirements for bodies certifying products, processes and services*”.

The origin of this certification scheme is a market demand to organize the alarm communication according to the quality standards based on agreed, measurable requirements.

The goal of this certification scheme is to make the supplier’s quality verifiable in order to give this feedback to their customers. In that way, the certification scheme clarifies to customers whether the supplier’s services meet its requirements.

An Alarm Transmission System (ATS) starts with Supervised Premises Transceiver (SPT) and ends in a Monitoring and Alarm Receiving Centre (MARC) which is certified according to EN 50518. The ARC is responsible for the handling of the alarms. For the monitoring of the connections is the Monitoring Centre (MC) responsible according to EN 50518.

An Alarm Transmission Service Provider (ATSP) is a person or an entity that is responsible for design, operation, management and the verification of performance of one or more ATSN. For each ATS the Alarm Transmission Service Provider (ATSP) entity (organization) should be clearly identified. An ATSP can be either an independent company, or a sub organization of an ARC, installer or network service provider.

The ATSP is a Monitoring Centre itself or uses a Monitoring Centre. In both cases the Monitoring Centre must be certified according to EN 50518 and EN 50136-1/A1.

This certification scheme replaces the following certification scheme:

Certification scheme	Title	Dated
K21030/03	Process certification scheme for Alarm Transmission Service Providers (ATSP)	2017-02-07

As of 02-11-2021 the previous version of this certification scheme is not valid anymore. This 4<sup>th</sup> version of the certification scheme updates the referenced standards such as the EN 50136-1/A1 and TS 50136-7. In addition to that, the scheme now applies to hosted and non-hosted situations. The certification scheme can be used directly.

It is noted that this certification scheme cannot supersede any legislative requirements deemed necessary by a National Government to control the security sector on a national basis. This standard cannot interfere with all those items that are regulated by (inter)national regulations concerning external services (for example water, waste water, fuel supplies for gas and/or oil and mains power supplies)

## 1.2 Scopes

This certification scheme recognizes four scopes. These are:

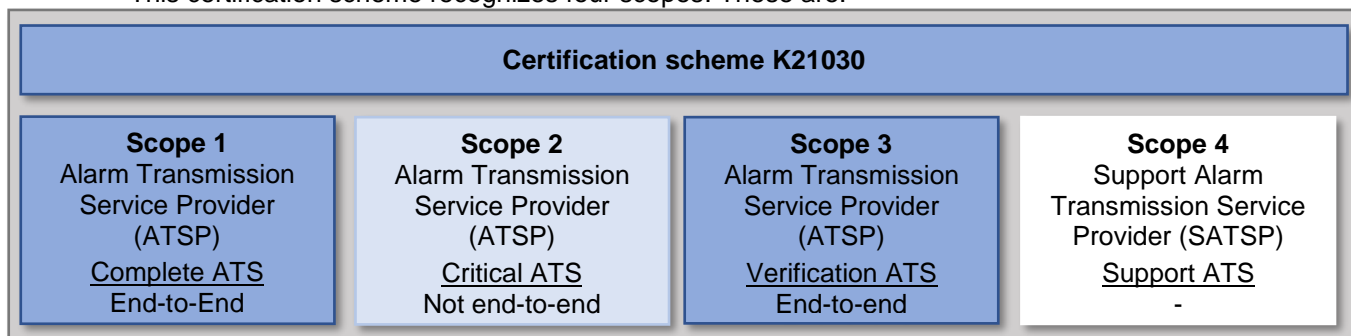


Figure 1: Scopes certification scheme K21030

**Scope 1:** The Alarm Transmission Service Provider (ATSP) as supplier which delivers the equipment, network and tools for the end-to-end alarm transmission system (ATS). The ATSP is responsible for the end-to-end performance and compliance with the performance requirements. The ATSP shall report based on proactive actions and provide the service for a 'complete alarm transmission system'.

Tasks in short: delivery and execution of a complete alarm transmission system.

Note 1: Scope 1 hosted encompasses also scope 2

Note 2: Scope 1 includes verification of performance as is described in scope 3.

**Scope 2:** The Alarm Transmission Service Provider (ATSP) as supplier which delivers the alarm transmission network for critical transmission. The ATSP is responsible for the performance and compliance with performance requirements. The ATSP shall report based on proactive actions and provide the service for 'critical transmission'. This service is not end-to-end.

Tasks in short: delivery and execution of a transmission network for critical transmission.

Note 1: scope 2 is mostly used in hosted situations

Note 2: in hosted situations is a secure location applicable. See definitions (2.2.14)

Note 3: in case of the Alarm Management System (AMS) is also arranged in the hosted situation, scope 2 is applicable and certification scheme K21046.

**Scope 3:** The Alarm Transmission Service Provider (ATSP) as supplier which delivers the Supervised Premises Transceiver and Receiving Centre Transceiver. The ATSP is responsible for the determination of performance of the alarm transmission. The ATSP shall report periodically to the (end)user and report directly if the performance of the alarm transmission system is not compliant. The ATSP provides the service 'alarm transmission verification'. This service is end-to-end.

Tasks:

- To provide a yearly report to the user relating to the performance of the alarm transmission together with a declaration of conformity that the system meets the performance requirements;
- The right to notify the user of deviations in the alarm transmission and requests the user to react;
- The issue and withdrawal of the conformity declaration and informing the user and/or the Authority having jurisdiction if the user does not take sufficient proactive actions and no longer meets the performance requirements for alarm transmission.

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**Scope 4:** The Support Alarm Transmission Service Provider (SATSP) as supplier which delivers support to the ATSP and the user of the SPT and can be the manufacturer of the certified SPT and the RCT. The SATSP provides the service 'secure support alarm transmission service providers'.

Tasks:

- The integration of the SPT – devices and RCT – tool with the ATSP within its Alarm Management System (AMS);
- The design of secure code and if needed updates of the code for the secure operation of the RCT and SPT;
- The secure remote support of the ATSP/user to keep the ATS perform.

For all scopes Service Level Agreements (SLAs) should be considered with the (end)user and its subcontractors. For more information about the topics in an SLA see TS 50136-7.

### 1.3 Overview of activities for scopes 1, 2 and 3

Activity	Scope 1	Scope 2	Scope 3
End-to-end	Yes	No	Yes
Delivery and execution of (a part of) the ATS	Yes	Yes	No
Verification of performance and reporting	Yes	Yes	Yes
Managing contracts with the network provider	Yes	Yes	No/Yes
Authorized to issue and withdraw conformity declaration and informing the (end)user and/or Authorities	No	No	Yes
Owner ATS	ATSP	ATSP	(End)user

Table 1

### 1.4 Technical and organizational resources

For the delivery of the service complete alarm transmission, critical alarm transmission or alarm transmission verification within an alarm transmission system, the following resources are needed:



	Technical and organizational resources	Scope 1	Scope 2	Scope 3
a	An approved and certified Supervised Premises Transceiver (SPT) according to EN50136-2	X		X
b	An approved and certified Alarm transmission and fault warning routing according to EN 54-21 [Obligated in case of fire alarm systems]	X		X
c	An approved Receiving Centre Transceiver (RCT) according to EN50136-3 that is compatible with the Supervised Premises Transceiver including change management	X	X	X
d	A network between the Supervised Premises Transceiver and Receiving Centre Transceiver as part of EN50136-1/A1	X	X	X
e	A management organization that determines the performance the alarm transmission system and does the periodic reporting according to EN50136-1/A1 and, if necessary, directly communicates this with the (end)user;	X	X	X
f	A management organization which takes proactive corrective actions if the performance of the alarm transmission system is insufficient.	X	X	X

Table 2

Note: An exception can be made if certification scheme K21046 hosted solution is applicable.

## 1.5 Visualisation of a non-hosted and hosted ATS

ATS in a non-hosted situation

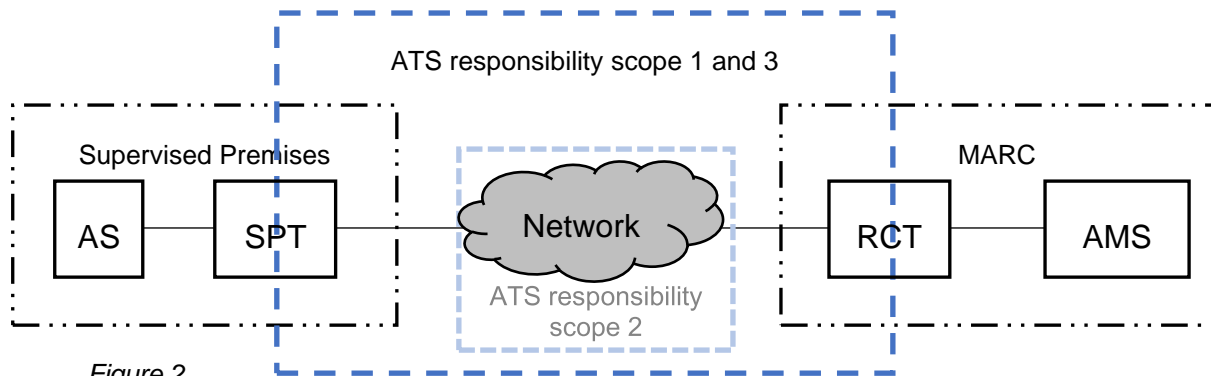


Figure 2

ATS in a hosted situation

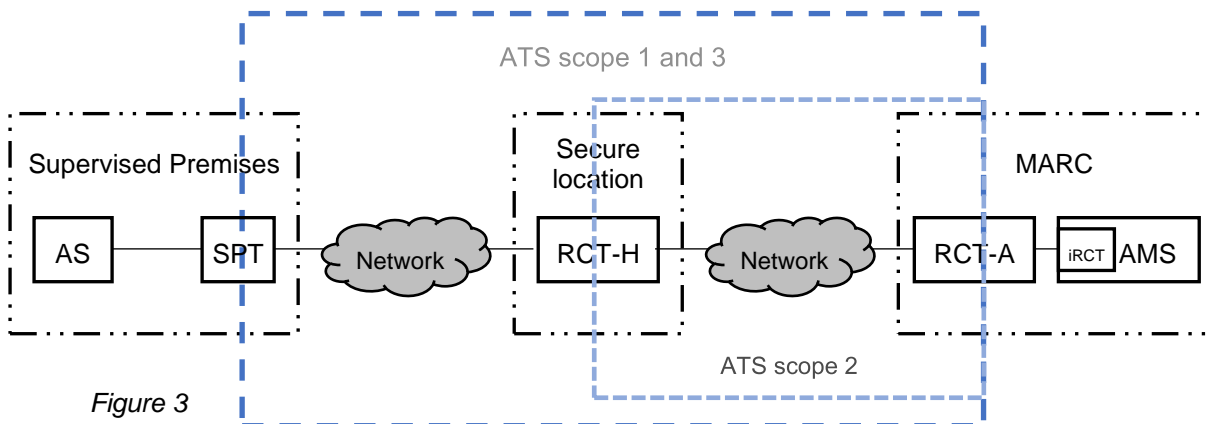


Figure 3

Hosted RCT design deployed and managed by independent ATSPs that serve multiple MARCs.

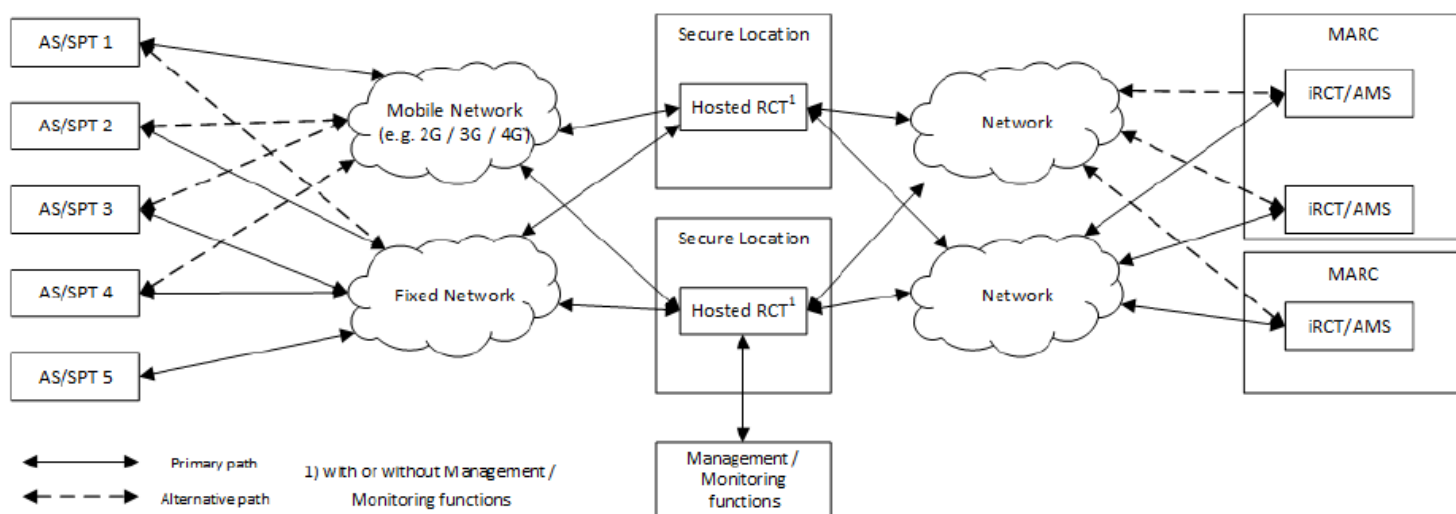


Figure 4 [SOURCE: TS 50136-7]

## 1.6 Acceptance of test reports provided by the supplier

If the supplier provides reports from test institutions or laboratories to prove that the products meet the requirements of this certification scheme, the supplier shall prove that these reports have been drawn up by an institution that complies with the applicable accreditation standards, namely:

- NEN-EN-ISO/IEC 17020 for inspection bodies;
- NEN-EN-ISO/IEC 17021-1 for certification bodies certifying systems;
- NEN-EN-ISO/IEC 17024 for certification bodies certifying persons;
- NEN-EN-ISO/IEC 17025 for laboratories;
- NEN-EN-ISO/IEC 17065 for certification bodies certifying products.

### Remark:

This requirement is considered to be fulfilled when a certificate of accreditation can be shown, issued either by the Board of Accreditation (RvA) or by one of the institutions with which an agreement of mutual acceptance has been concluded by the RvA. The accreditation shall refer to the examinations as required in this certification scheme. When no certificate of accreditation can be shown, Kiwa shall verify whether the accreditation standard is fulfilled.

## 1.7 Quality declaration

The quality declaration to be issued by Kiwa is described as a Kiwa process certificate.

A model of the certificate to be issued based on this certification scheme has been included for information as Annex.

## 1.8 Assessment method type 6

The normal assessment method per installation of this certification scheme is according EN-ISO/IEC 17067 "Conformity assessment - Fundamentals of product certification and guidelines for product certification schemes" type 6.

## 2 Terms and definitions

### 2.1 General definitions

In this certification scheme, the following general terms and definitions apply:

#### 2.1.1 **Board of Experts:**

the Board of Experts Security

#### 2.1.2 **Certification scheme:**

the agreements made within the Board of Experts on the subject of certification.

#### 2.1.3 **Inspection tests:**

tests carried out after the certificate has been granted in order to ascertain whether the certified products continue to meet the requirements recorded in the certification scheme.

#### 2.1.4 **IQC scheme (IQCS):**

a description of the quality inspections carried out by the supplier as part of his quality system.

#### 2.1.5 **Initial assessment:**

assessment in order to ascertain that all the requirements recorded in the certification scheme are met.

#### 2.1.6 **Private Label Certificate:**

A certificate that only pertains to processes that are also included in the certificate of a supplier that has been certified by Kiwa, the only difference being that the products and product information of the private label holder bear a brand name that belongs to the private label holder.

#### 2.1.7 **Process certificate:**

a document in which Kiwa declares that a process may, on delivery, be deemed to comply with the process specification recorded in the process certificate.

#### 2.1.8 **Process requirements:**

requirements made specific by means of measures or figures, focussing on (identifiable) characteristics of processes and containing a limiting value to be achieved, which can be calculated or measured in an unequivocal manner.

#### 2.1.9 **Supplier:**

the party that is responsible for ensuring that the processes meet and continue to meet the requirements on which the certification is based.

#### 2.1.10 **Surveillance assessment:**

the assessment after granting the certificate to determine that the certified processes continue to meet the requirements in this certification scheme.

Note 1: In the assessment matrix is summarized which research Kiwa will conduct at the initial and surveillance assessments and in which frequency.

## 2.2 Specific definitions

In this certification scheme, the following specific terms and definitions apply:

### 2.2.1 **Alarm Management System (AMS):**

System at a MARC which stores, organizes, controls, manages and allows retrieval of client data and is interfaced to the alarm receiving equipment (RCT) for automatic annunciation of messages for each alarm system. For more information: annex C EN 50518:2019.

[SOURCE: 3.1.4 EN 50518:2019]

### 2.2.2 **Alarm Transmission Equipment (ATE):**

Collective term to describe SPT, MCT and RCT

[SOURCE: 4.1.4 EN 50136-1/A1]

### 2.2.3 **Alarm Transmission System (ATS):**

ATE and networks used to transfer information concerned with the state of one or more Alarm Systems at supervised premises to one or more AMSs of one or more MARCs.

Note 1 to entry: An ATS may consist of more than one ATP.

[SOURCE: 4.1.8 EN 50136-1/A1]

### 2.2.4 **Alarm Transmission Service Provider (ATSP):**

Person or an entity that is responsible for design, operation, management and the verification of performance of one or more ATSN.

Note: The ATSP may delegate some responsibility through contracts with customers, MARC's, transmission network operators etc. but retains overall responsibility.

[SOURCE: 4.1.7 EN 50136-1/A1]

### 2.2.5 **Alarm Transmission Service Network (ATSN):**

Group of ATSNs of the same category.

Note: An ATSN consists of one or more ATSNs of the same category, functioning under supervision of the same management and monitoring centre.

[SOURCE: 4.1.6 EN 50136-1/A1]

### 2.2.6 **ATS management system:**

part of the ATS that is used to manage alarm transmission equipment, supervise alarm transmission equipment and networks and may help to keep the ATS in operation.

Note 1 to entry: The management system may also be used to collect data about the ATS availability.

[SOURCE: 4.1.10 EN 50136-1/A1]

### **2.2.7 *ATS monitoring centre;***

centre in which the status and performance of one or more ATS is monitored.

Note 1 to entry: A monitoring centre may be a separate centre or part of an ARC.

Note 2 to entry: A monitoring centre may be the place where MCTs are located.

Note 3 to entry: A monitoring centre may be the place where a management system is located.

[SOURCE: 4.1.11 EN 50136-1/A1]

### **2.2.8 *Critical Transmission System (CTS):***

Transmission system for critical transmission. This alarm transmission is not end-to-end as is defined in EN 50136-1/A1 but this alarm transmission is critical in perspective of business continuity and requires a high uptime.

### **2.2.9 *Diverse technology;***

technologies used in transmission paths in such a way that a single point of failure, or tampering of a single point, cannot cause both ATPs of a dual path system to fail simultaneously.

[SOURCE: 4.1.15 EN 50136-1/A1]

### **2.2.10 *Hosted RCT:***

RCT that consists of two parts, where one part is located in a secure location (RCT-H) and another part is installed in the MARC (RCT-A).

[SOURCE: 4.1.41 EN 50136-1/A1]

### **2.2.11 *Monitoring Centre (MC);***

centre in which the status of one or more ATSNs is monitored.

[SOURCE: 4.1.15 EN 50136-1/A1]

### **2.2.12 *Monitoring and Alarm Receiving Centre (MARC):***

continuously manned centre where information concerning the status of one or more AS is reported, and additionally where the status of one or more ATS is monitored

[SOURCE: 4.1.39 EN 50136-1/A1]

Kiwa Note 1: The MARC is not always certified for monitoring the status of one or more ATS. In that case it is an Alarm Receiving Centre (ARC).

Kiwa Note 2: The ATSP is a certified MARC itself or shall use a certified MARC according to EN 50518 as a Monitoring Centre.

### **2.2.13 *Monitoring centre transceiver;***

ATE within the ATS that enables monitoring and management information regarding the status of alarm transmission equipment and networks.

Note 1 to entry: The monitoring centre transceiver may be located at the alarm receiving centre or at a separate centre.

[SOURCE: 4.1.23 EN 50136-1/A1]

**2.2.14 Receiving centre transceiver (RCT):**

equipment located at a secure location and has as a minimum functionality to receive and to deliver alarm messages to the AMS.

Note 1: The RCT may include management functions for the ATS.

[SOURCE: 4.1.28 EN 50136-1/A1]

**2.2.15 Secure location:**

location that is a MARC or another location that complies with a published data centre standard.

Note 1: Examples of published data centre standards or accepted best practices are: a data centre designed and maintained to EN 50600 series. Availability class 3, protection class 4 or ARC category I in accordance to EN 50518; or as best practice Uptime Institute Tier 3.

[SOURCE: 4.1.38 EN 50136-1/A1]

**2.2.16 Support Alarm Transmission Service Provider (SATSP):**

person or an entity responsible for giving support to an ATSP.

**2.2.17 Service-level agreement (SLA):**

a formal agreement between two or more parties to establish a service contract, in which the level of service is formally defined.

Note 1: The EN 50518 also recognizes paragraphs related to SLA's: 9.1.16 and 10.4.

[SOURCE: 5.9.1 TS 50136-7]

## 3 Procedure for granting a process certificate

### 3.1 Initial assessment

The initial assessment which will be performed are based on the process requirements as included in this certification scheme including the test methods and contain the items in chapter 8.

#### 3.1.1 *Pre-inspections for scope 1*

A pre-assessment is obliged for scope 1 before starting the initial audit. The goal of this pre-assessment is to determine to what extent the system has the potential in meeting the requirements. During this assessment there will be a sample inspection at least five risk addresses with a maximum of 1% of the total associated risk addresses. A pre assessment is already possible for an ATS under construction.

#### 3.1.2 *Initial inspections for scope 1*

After the pre-assessment the initial assessment starts. In this assessment shall be determined to what extent the ATS meets the requirements. During this inspection there will be inspected at least five risk addresses with a maximum of 0,1% of the total associated risk addresses.

#### 3.1.3 *Pre-inspection/initial inspections for scope 3*

The sample size for scope 3 is depending on the to be certified situation. An agreement is made between Kiwa and the client.

### 3.2 Granting the process certificate

After finishing the initial investigation, the results are presented to the Decision maker (see 9.4) deciding on granting the certificate. This person evaluates the results and decides whether the certificate can be granted or if additional data and/or tests are necessary.

### 3.3 Investigation into the process and/or performance requirements

Kiwa will investigate the to be certified processes against the certification requirements as stated in the certification requirements.

The necessary samples will be drawn by or on behalf of Kiwa.

### 3.4 Contract assessment

If the supplier is not the producer of the processes to be certified, Kiwa will assess the agreement between the supplier and the producer.

This written agreement, which is available for Kiwa, includes at least:  
Accreditation bodies, scheme managers and Kiwa will be given the opportunity to observe the certification activities carried out by Kiwa or on behalf of Kiwa at the producer.

# 4 Requirements and assessment methods

## 4.1 General

This chapter contains the requirements which the alarm transmission system must meet, as well as to determine whether the requirements are met.

Table 3 gives an overview of the clauses that will be assessed based on the European standard EN 50136-1/A1 – *alarm systems – Alarm Transmission Systems and equipment – Part 1: General requirements for Alarm Transmission Systems*.

The column ‘assessment methods’ determines which type of assessment is carried out. Verification will be done during the initial and surveillance audit. Inspection will be at the risk addresses.

Clause EN 50136-1/A1	Subject	Assessment methods
5	General requirements	Verification
6.2.1	Transmission link requirements: General	Verification
6.2.2	Transmission links shared with other applications	Verification
6.2.3	Transmission network equipment	Verification
6.2.4	ATSN Capacity	Verification
6.2.5	Denial of service	Inspection
6.3.2	Transmission time	Verification & Inspection
6.3.3	Monitoring of interconnections	Verification & Inspection
6.4	Securing of messages in the alarm transmission system	Verification
6.5	Alarm transmission acknowledgement	Verification
6.6	ATS generated alarms	Verification & Inspection
6.7	Availability	Verification & Inspection
6.8	Security	Verification
6.9	Hosted ATS Solution	Verification & Inspection
7	Verification of performance	Verification & Inspection
8	Documentation	Verification

Table 3

The verification of the requirements is specified in chapter 7 of this certification scheme.



## 4.2 Application guideline

The CLC-TS 50136-7 *Alarm Systems – Alarm transmission systems and equipment – Part 7: Application guidelines* could help with the application of the requirements in EN 50136-1/A1. Table gives an overview of the useful clauses:

Clause TS 50136-7	Subject
5.1	Information security
5.2	Availability - this clause is excluded
5.3	Testing
5.4	Certification and inspection
5.5	The role of the ATSP
5.6	ATS applications
5.7	Alternative notification services
5.8	MCT and hosted RCT
5.9	Service level agreements
5.10	Documentation
6	Planning
6.1	General
6.2	Selection of ATS and/or ATSN category
6.3	Service level agreements
6.4	Roles and responsibilities
6.5	Connection to alarm systems
7	Design
7.1	Non-ATE equipment
7.2	Shared transmission links and throughput
7.3	Transmission network selection
7.4	Interoperability
7.5	Location of SPT and other transmission network equipment
7.6	Design examples
8	Installation
8.1	Commissioning
8.2	Testing
8.3	Fixing, fitting and cabling
8.4	Competence
8.5	Documentation
8.6	Certification
9	Operation
9.1	General
9.2	Performance monitoring of the ATS and/or ATSN
9.3	Change management
9.4	Configuration management
9.5	System upgrades
9.6	Problem management
9.7	Planned maintenance
9.8	End of life management
9.9	Back-ups

Table 4

# 5 Test methods

## 5.1 General

In chapter 4, table 3 an overview is given on the to be inspected items. This inspection must be carried out at the risk addresses. The test method is based on the EN 50136-1/A1 and the EN 54-21. Main goal of the inspection is: testing the functions and the performance of the SPT in context of the ATS, MC and ATSP.

## 6 Marking by the ATSP

### 6.1 General

The process shall be marked with following indelible marks and indications:

- name or logo of the manufacturer;
- type indication;
- certification marking according to this scheme.

Indications and markings shall at least fulfil the requirements in the relevant process Standard.

### 6.2 Certification mark

After concluding a Kiwa certification agreement, the certified process shall be indelible marked with the certification mark:



### 6.3 ATS object declaration

If necessary Kiwa can supply an object declaration about the infrastructure of the ATS.

### 6.4 Object notification ATS by the ATSP in scope 3

Periodically must be shown that the connection is still in the program of requirements. If not, The ATSP in scope 3 is able to issue an object notification to inform the (end)user and/or Authorities about the liabilities in conjunction with the withdrawal of the marking of the applicable ATS.

Note: There are no object notifications in scope 1 and 2. This is part of the certificate issued by Kiwa.

# 7 Requirements in respect of the quality system

## 7.1 General

This chapter contains the requirements which have to be met by the supplier's quality system being the ATSP and if applicable the MC. This refers to the service delivered in the alarm transmission system.

## 7.2 Manager of the quality system

Within the supplier's organizational structure, an employee must have been appointed who is in charge of managing the supplier's quality system. *This officer reports to the board.*

## 7.3 Internal quality control/quality plan

The supplier shall have an internal quality control scheme (IQC scheme) which is applied by him.

The following must be demonstrably recorded in this IQC scheme:

- which aspects are checked by the supplier;
- according to what methods such inspections are carried out;
- how often these inspections are carried out;
- in what way the inspection results are recorded and kept.

This IQC scheme should at least be an equivalent derivative of the model IQC scheme as shown in the Annex.

At least once a year a management review and internal audit must be carried out according to the EN 50136-1/A1 to assess the functionality and the performance of the ATS, ATSN and the ATSP.

## 7.4 Procedures and working instructions

The supplier shall be able to submit the following:

- procedures for:
  - dealing with products showing deviations;
  - corrective actions to be taken if non-conformities are found;
  - dealing with complaints about products and/or services delivered;
- the working instructions and inspection forms used.

## 7.5 Subcontracting of activities

In case of activities are performed by subcontractors, then these subcontractors themselves shall be certified in compliance with this certification scheme or are under control of the certified ATSP.

If (parts of) the activities are performed by subcontractors, these subcontractors shall meet the same requirements as the certified supplier.

The activities in conjunction with EN 50518 can only be subcontracted if the Monitoring Centre is certified according to this standard.

## **7.6 Standard Operating Procedures (SOP's)**

Standard Operating Procedures (SOP's) shall be established and made available to all staff as required by their function. Each SOP shall identify those responsible for its design, implementation, execution, evaluation and maintenance. Where KPI's are required to measure SOP execution and quality levels they shall be identified together with the method of measurement. An overview documenting the valid release date of each SOP shall be maintained at all times. Documented SOP's shall exist for the following paragraphs:

### **7.6.1 Quality of service**

The procedures for handling the individual services have to include prevention against poor quality of response. They shall include monitoring of execution quality (technical / human) of response according to the agreed the action plan. The supplier shall have performance statistics available to demonstrate the fulfilment of the contracted services.

### **7.6.2 Installation, maintenance, protection, removal and reuse of assets**

Documented procedures shall exist to describe who is allowed to approve and execute installation, maintenance, removal and disposal/reuse of assets. These documented procedures shall take into account the specific risks which are related to the data and licensed software that may be included in the assets if the assets are removed from the systems or if people not subject to relevant employment are involved. The procedure also shall ensure that unattended equipment has appropriate protection.

### **7.6.3 Information handling**

Documented procedures shall describe how all data is maintained, stored, organized, modified, managed and retrieved. The procedure shall detail how data is interfaced to all alarm receiving equipment of all messages for each alarm system and for retention of records of client related operational events. Additional procedures shall describe how the data is maintained, protected, retained and disposed. Controls shall be established and maintained to prevent loss, destruction, falsification, unauthorized access and unauthorized release of data either through inadvertence or malicious interference. These controls shall take into account applicable legislation and regulations, contractual obligations and business requirements.

### **7.6.4 Data back-up**

Documented procedures shall be in place detailing how all client and system (e.g. statistics) data is backed-up, and to test the availability and reliability of such back-ups.

Confidentiality and classification of information

Clear and unambiguous procedures shall be established and documented for any person having access to the data to ensure confidentiality is maintained.

The procedure shall include:

- A clear desk policy for papers and removable storage media and a clear screen policy for information processing facilities;
- Information classification and labelling instructions in terms of legal requirements, value criticality and sensitivity to unauthorized disclosure or modification.

Information classification and labelling in terms of legal requirements, value, criticality and sensitivity to unauthorized disclosure or modification shall be in place and applied by all staff.

### 7.6.5 Documentation clause 8 EN 50136-1/A1

The ATSP(s) shall maintain documentation sufficient for planning, installation, commissioning, service and operation of the ATS. ATE Instructions shall be structured to reflect the access levels of the different type of users. Documentation shall include ATS categorization according to Table 1, Table 2, Table 3, Table 4, Table 5, Table 6, Table 7, Table 8 and Table 9, and 6.8 of EN 50136-1/A1.

Documentation EN 50136-1/A1	
Table 1	<b>5 ATS Categories</b> <i>SLAs with client and the infrastructure with its components.</i>
Table 2	<b>6.3.2 Transmission time according to table 2</b> <i>Report per month of the performance of the group ATS's (for example a region or the complete installed base of the ATSP) on Arithmetic mean and 95th percentile of all transmissions for <b>review</b>.</i> <i>When is a transmission exceeds for example for an DP4 30 seconds shall this ATS be stored separate <b>for further inspection</b></i>
Table 3	<b>6.3.3 Monitoring of interconnections</b> <i>Settings according to table 3, 4 (read A1) &amp; 5 for <b>verification</b>.</i>
Table 4	
Table 5	
Table 6	<b>6.7.5 ATS availability recording (read A1)</b> <i>Report per week according to table 6 per primary, secondary and total (primary and secondary) <b>for further inspection</b>.</i> <i>The performance of the group ATS's (for example a region or the complete installed base of the ATSP) per month over only the total <b>for review</b>.</i>
Table 7	<b>6.7.6 ATSN availability</b> <i>Report per year according to table 7 per primary, secondary and total (primary and secondary).</i> <i>The performance of the group ATS's (ATSN) (for example a region or the complete installed base of the ATSP) per year over only the total <b>for review and further inspection</b>.</i>
Table 8	<b>6.8 Substitution security/information security</b> <i>Settings according to table 8 and 9 for <b>verification</b>.</i>
Table 9	
Clause 6.8	

Table 5

## 8 Summary of assessment and inspections

This chapter contains a summary of the following assessments and inspections to be carried out in the event of certification:

- **initial investigation:** assessment and inspections in order to ascertain that all the requirements recorded in the certification scheme are met;
- **assessment after granting of certificate:** assessment and inspections carried out after the certificate has been granted in order to ascertain whether the certified processes continue to meet the requirements recorded in the certification scheme;
- **assessment of the quality system of the supplier:** monitoring compliance of the IQC scheme and procedures.

### 8.1 Assessment matrix

Description of requirement	Scope	Assessment within the scope of:	
		Initial	Assessment by Kiwa after granting of certificate a,b)
Determining the demarcation (configuration) and specifications (categories) of the alarm transmission systems (ATS) based on the requirements of the EN 50136-1/A1 clause 5;	1-2-3	X	X
The assessment of the product of relevant components based on the EN 50136-2 and for Fires or Life Safety additional application according to EN 54-21;	1-2-3	X	X
The assessment of the processes of relevant services based on the EN 50136-3 functionalities to the Alarm Management System according to EN 50518;	1-3	X	X
The assessment of the network architecture EN 50136-1/A1 clause 5 and 6;	1-2-3	X	X
The field inspection of the performance requirements and resilience requirements of the ATS. EN 50136-1/A1 clause 6 and 7;	1-2	X	X
Assessing the security demands and controls of the ATS. EN 50136-1/A1 clause 8;	1-2-3-4	X	X

Description of requirement	Scope	Assessment within the scope of:	
		Initial	Assessment by Kiwa after granting of certificate a,b)
The assessment of the statistical data that is generated by hardware and software of the ATS. EN 50136-1/A1 clause 7;	1-2-3	X	X
The EN 50518 assessment of the Monitoring and Alarm Receiving Center (MARC) which collects the data and processes this according to the specifications of the ATSP;	1-2-3	X	X
The assessment of corrective actions by the ATSP/SATSP based on failing communication by the ATS. K21030 chapter 7 and EN 50136-1/A1 clause 8;	1-2-3-4	X	X
The assessment of the quality system of the MARC and the ATSP/SATSP concerning the subject ATS. K21030 chapter 7 and EN 50136-1/A1 clause 8;	1-2-3-4	X	X
Review the functioning of Standard Operating Procedures (SOP's) to comply with the above requirements. K21030 chapter 7 and EN 50136-1/A1 clause 8	1-2-3-4	X	X

Table 6 assessment matrix

- a) In case the process changes, it must be determined whether the performance requirements are still met.
- b) All process characteristics that can be determined within the visiting time (maximum 1 day) are determined by the inspector or by the supplier in the presence of the inspector. In case this is not possible, an agreement will be made between the certification body and the supplier about how the inspection will take place. The frequency of inspection visits is defined in chapter 7 of this certification scheme.

Note 1: Periodic maintenance of the ATS is arranged in certification scheme K21035.

Note 2: The assessment of a closed network for the threat of "Denial of service" is different than with an open public network. See EN54-21 annex A.



## 8.2 Assessment after granting of certificate:

This assessment is executed every 12 months based on the requirements included in this certification scheme; including testing methods and the nature of the certification system. See table 6 for the assessment criteria.

During the field inspection shall be determined to what extent the system meets the requirements. During this inspection there will be at least 5 risk addresses inspected. The sample size for scope 1 is shown below.

Number of connections	Sample size
< 100.000	0,01 % At least 5, maximum 25
> 100.000	50

*Table 7: sample size*

The sample size for scope 3 is depending on the certified situation. An agreement is made between the PM and the client.

## 8.3 Assessment of the quality system of the supplier

The quality system of the supplier will be checked by Kiwa based on the IQC scheme see annex II.

The inspection contains at least those aspects mentioned in the Kiwa Regulations for Certification.

# 9 Agreements on the implementation of certification

## 9.1 General

Beside the requirements included in these certification schemes, the general rules for certification as included in the Kiwa Regulations for Product Certification also apply.

These rules are in particular

- The general rules for conducting the pre-certification assessments, to be distinguished in:
  - the way suppliers are to be informed about an application is being handled,
  - how the assessment is conducted,
  - the decision to be taken as a result of the pre-certification assessments.
- The general directions for conducting inspections and the aspects to be audited,
- The actions to be taken by Kiwa in case of non-conformities,
- Actions taken by Kiwa in case of improper Use of Certificates, Certification Marks, Pictograms and Logos,
- Terms for termination of the certificate,
- The possibility to lodge an appeal against decisions of actions taken by Kiwa.

## 9.2 Certification staff

The staff involved in the certification may be sub-divided into:

- Certification assessor (**CAS**): in charge of carrying out the pre-certification assessments and assessing the inspectors' reports;
- Site assessor (**SAS**): in charge of carrying out external inspections at the supplier's works;
- Decision maker (**DM**): in charge of taking decisions in connection with the pre-certification assessments carried out, continuing the certification in connection with the inspections carried out and taking decisions on the need to take corrective actions.

### 9.2.1 Qualification requirements

The qualification requirements consist of:

- qualification requirements for personnel of a certification body which satisfies the requirements EN ISO / IEC 17065, performing certification activities
- qualification requirements for personnel of a certification body performing certification activities set by the Board of Experts for the subject matter of this certification scheme.

Education and experience of the concerning certification personnel shall be recorded demonstrably.

Basic requirements	Assessment criteria
Knowledge of company processes Requirements for conducting professional audits on products, processes, services, installations, design and management systems.	<i>Relevant experience: in the field</i> <b>SAS, CAS:</b> 1 year <b>DM:</b> 5 years inclusive 1 year with respect to certification Relevant technical knowledge and experience on the level of: <b>SAS:</b> High school <b>CAS, DM:</b> Bachelor

Basic requirements	Assessment criteria
Competence for execution of site assessments. Adequate communication skills (e.g. reports, presentation skills and interviewing technique).	<b>SAS:</b> Kiwa Audit training or similar and 4 site assessments including 1 autonomic under review.
Execution of initial examination	<b>CAS:</b> 3 initial audits under review.
Conducting review	<b>CAS:</b> conducting 3 reviews

Technical competences	Assessment Criteria
Education	<b>General:</b> Education in one of the following technical areas: <ul style="list-style-type: none"> <li>• Security</li> <li>• Safety</li> </ul>
Testing skills	<b>General:</b> <ul style="list-style-type: none"> <li>• 1 week laboratory training (general and scheme specific) including measuring techniques and performing tests under supervision;</li> <li>• Conducting tests (per scheme).</li> </ul>
Experience - specific	<b>CAS</b> <ul style="list-style-type: none"> <li>• 3 complete applications (excluding the initial assessment of the production site) under the direction of the <b>PM</b></li> <li>• 1 complete application self-reliant (to be evaluated by <b>PM</b>)</li> <li>• 3 initial assessments of the production site under the direction of the <b>PM</b></li> <li>• 1 initial assessment of the production site self-reliant (witnessed by <b>PM</b>)</li> </ul> <b>SAS</b> <ul style="list-style-type: none"> <li>• 5 inspection visits together with a qualified <b>SAS</b></li> <li>• 3 inspection visits conducted self-reliant (witnessed by <b>PM</b>)</li> </ul>
Skills in performing witnessing	<b>PM</b> Internal training witness testing

Table 8: qualification requirements

Legenda:

- Certification assessor (**CAS**)
- Decision maker (**DM**)
- Product manager (**PM**)
- Site assessor (**SAS**)

### 9.2.2 Qualification

The qualification of the Certification staff shall be demonstrated by means of assessing the education and experience to the above-mentioned requirements. In case staff is to be qualified based on deflecting criteria, written records shall be kept.

The authority to qualify staff rests with the:

- **PM:** qualification of **CAS** and **SAS**;
- management of the certification body: qualification of **DM**.

### 9.3 Report initial investigation

The certification body records the results of the initial investigation in a report.

This report shall comply with the following requirements:

- completeness: the report provides a verdict about all requirements included in the certification scheme;
- traceability: the findings on which the verdicts have been based shall be recorded and traceable;
- basis for decision: the **DM** shall be able to base his decision on the findings included in the report.

### 9.4 Decision for granting the certificate

The decision for granting the certificate shall be made by a qualified Decision maker which has not been involved in the pre-certification assessment. The decision shall be recorded in a traceable manner.

### 9.5 Layout of quality declaration

The process certificate shall be in accordance with the model included in the Annex.

### 9.6 Model reports

Parts of the certification are specified in the Kiwa Quality plan accompanying this certification scheme. Here are to be found among other things:

- Model Kiwa process certificate about the supplier
- Model explanation of the system of the supplier
- Model Kiwa audit and inspection report

### 9.7 Nature and frequency of third party audits

The certification body shall carry out surveillance audits on site at the supplier at regular intervals to check whether the supplier complies with his obligations. The Board of Experts decides on the frequency of audits.

At the time this certification scheme entered into force, the frequency of audits amounts 1 audit(s) on site per year for suppliers with a quality management system in accordance with ISO 9001 for their production, which has been certified by an acknowledged body (in accordance with ISO/IEC 17021) and where the IQC scheme forms an integral part of the quality management system.

The results of each audit shall be recorded by Kiwa in a traceable manner in a report.

### 9.8 Non conformities

When the certification requirements are not met, measures are taken by Kiwa in accordance with the sanctions policy as written in the Kiwa Regulation for Certification.

The Sanctions Policy is available through the "News and Publications" page on the Kiwa website ["Kiwa Regulation for Certification"](#).

### 9.9 Report to the Board of Experts

The certification body shall report annually about the performed certification activities. In this report the following aspects are included:

- mutations in number of issued certificates (granted/withdrawn);
- number of executed audits in relation to the required minimum;
- results of the inspections;
- required measures for established Non-Conformities;
- received complaints about certified products.

### **9.10 Interpretation of requirements**

The Board of Experts may record the interpretation of requirements of these certification schemes in one separate interpretation document.

The certification institution is allowed to do an admission research each subarea and certify each subarea.

# 10 Titles of standards

## 10.1 Important standards / normative documents

Number	Title	Version*
NEN-EN ISO/IEC 17020	Conformity assessment - General criteria for the operation of various types of bodies performing inspection	
NEN-EN ISO/IEC 17021	Conformity assessment - Requirements for bodies providing audit and certification of management systems	
NEN-EN ISO/IEC 17024	Conformity assessment - General requirements for bodies operating certification of persons	
NEN-EN ISO/IEC 17025	General requirements for the competence of testing and calibration laboratories	
NEN-EN ISO/IEC 17065	Conformity assessment - Requirements for bodies certifying products, processes and services	
NEN-EN 50518	Monitoring and Alarm Receiving Centre	
NEN-EN 50136-1/A1	Alarm systems - Alarm transmission systems and equipment - Part 1: General requirements for alarm transmission systems	
NEN-EN 50136-2	Alarm systems - Alarm transmission systems and equipment - Part 2: Requirements for Supervised Premises Transceiver (SPT)	
NEN-EN 50136-3	Alarm systems - Alarm transmission systems and equipment - Part 3: Requirements for Receiving Centre Transceiver (RCT)	
NVN-CLC/TS 50136-7	Alarm systems - Alarm transmission systems and equipment - Part 7: Application guidelines	
NEN-EN 54-21	Fire detection and fire alarm systems - Part 21: Alarm transmission and fault warning routing equipment	
K21023	Mobile security – for the certificate for Mobile Alarm systems to protect goods and persons	
K21035	Integrated Security Alarm Systems – Assessment scheme for testing, inspection and certification of integrated security alarm systems.	
K21046	Hosted Alarm Solution – for the certificate	

\*) When no date of issue has been indicated, the latest version of the document is applicable.

# I Model certificate

	<b>Process certificate</b> KXXXXXX/0X		
	<b>Issued</b> <b>Replaces</b> <b>Page</b> 1 of 3		
<b>CERTIFICATE</b>	<b>Alarm Transmission Service Provider</b>		
	<b>STATEMENT BY KIWA</b> With this process certificate, issued in accordance with the Kiwa Regulations for Product Certification, Kiwa declares that legitimate confidence exists that the processes/services supplied by		
	<b>COMPANY</b> as specified in this process certificate and marked with the Kiwa®-mark in the manner as indicated in this process certificate may, on delivery, be relied upon to comply with Kiwa process certification scheme K21030/04 Alarm Transmission Service Providers (ATSP) dated x may 2020 for the scope(s) 1, 2, 3 and 4 as mentioned further on in this certificate:		
	 Ron Scheepers Kiwa		
	Advice: consult <a href="http://www.kiwa.nl">www.kiwa.nl</a> or <a href="http://www.kiwafss.nl">www.kiwafss.nl</a> in order to ensure that this certificate is still valid.  You can request more information about the scope and the applicable certification scheme from the certified company.  This certificate remains the property of Kiwa NCP  This certificate consists of 3 pages. Publication of this certificate is allowed.		
<b>ATSP Provider</b> Company  Tel.	<b>ATSP Network</b> Network		
Kiwa Nederland B.V. Sir Westze Churchillaan 273 Postbus 70 2280 AD Rijswijk Tel. +31 88 966 44 88 <a href="http://www.kiwa.nl">www.kiwa.nl</a>  Executed by: Kiwa FSG Certification <a href="mailto:info.ncp@kiwa.nl">info.ncp@kiwa.nl</a> <a href="http://www.kiwafss.nl">www.kiwafss.nl</a>			
140410			

## II Model IQC-scheme

Inspection subjects	Inspection aspects	Inspection method	Inspection frequency	Inspection registration
Determining the demarcation (configuration) and specifications (categories) of the alarm transmission systems (ATS) based on the requirements of the EN 50136-1/A1 clause 5;				
The assessment of the product of relevant components based on the EN 50136-2 and for Fires or Life Safety additional application according to EN 54-21;				
The assessment of the processes of relevant services based on the EN 50136-3 functionalities to the Alarm Management System according to EN 50518;				
The assessment of the network architecture EN 50136-1/A1 clause 5 and 6;				
The field inspection of the performance requirements and resilience requirements of the ATS. EN 50136-1/A1 clause 6 and 7;				
Assessing the security demands and controls of the ATS. EN 50136-1/A1 clause 8;				
The assessment of the statistical data that is generated by hardware and software of the ATS. EN 50136-1/A1 clause 7;				
The EN 50518 assessment of the Monitoring and Alarm Receiving Center (MARC) which collects the data and processes this according to the specifications of the ATSP;				
The assessment of corrective actions by the ATSP/SATSP based on failing communication by the ATS. K21030 chapter 7 and EN 50136-1/A1 clause 8;				
The assessment of the quality system of the MARC and the ATSP/SATSP concerning the subject ATS. K21030 chapter 7 and EN 50136-1/A1 clause 8;				
Review the functioning of Standard Operating Procedures (SOP's) to comply with the above requirements. K21030 chapter 7 and EN 50136-1/A1 clause 8				