

HKCAS Supplementary Criteria No. 4

Accreditation Regulations Specific for HKCAS – Certification Body

1 INTRODUCTION

- 1.1 This document provides specific regulations for accreditation of certification bodies under the Hong Kong Certification Body Accreditation Scheme. All accredited certification bodies shall conform with all the regulations stated in this document at all times. For an applicant certification body, accreditation will only be granted after it has demonstrated to the satisfaction of HKAS Executive its competence and commitment to conforming with all the regulations stated in this document.
- 1.2 This document shall be used in conjunction with HKAS 002 – Regulations for HKAS Accreditation.
- 1.3 This document may be amended from time to time and the up-to-date version is uploaded to the HKAS website at the address of www.itc.gov.hk/hkas.

2 CERTIFICATION BODY ACCREDITATION PROCEDURES

- 2.1 An assessment team may, at its discretion, carry out an observation on a certification body while it is performing certification audits for which it is accredited or seeking accreditation. The certification body shall seek consent from and shall explain to its customers concerning the presence of the assessment team in such certification audits. The certification body shall further assure its customer that the presence of the assessment team during the certification audits will not affect the outcome of the audits.
- 2.2 HKAS Executive shall conduct a reassessment on the accredited activities of a certification body every three years after the accreditation has been granted. The reassessment schedule may be varied at the discretion of HKAS Executive.
- 2.3 HKAS Executive shall also conduct a surveillance visit to an accredited certification body routinely every six months. HKAS Executive has discretion to vary the period for reassessment and surveillance visit as it sees fit.

- 2.4 Upon granting of the accreditation to a certification body for a certification system, HKAS Executive shall issue to it a certificate of HKCAS accreditation for such certification system.

3 OBLIGATIONS OF ACCREDITED OR APPLICANT CERTIFICATION BODIES

3.1 HKCAS Accreditation Criteria

An accredited certification body shall at all times comply with the following:-

HKAS 002 - Regulations for HKAS Accreditation,

Relevant HKCAS Supplementary Criteria

Relevant HKAS Supplementary Criteria, and

Relevant IAF Mandatory Documents

- (a) A certification body accredited for certification of quality and environmental management systems shall also comply at all times with the following:

ISO/IEC 17021:2006 Conformity assessment - Requirements for bodies providing audit and certification of management systems;

- (b) A certification body accredited for certification of environmental management systems shall also comply at all times with the following:

ISO/IEC 17021:2006 - Conformity assessment - Requirements for bodies providing audit and certification of management systems;

- (c) A certification body accredited for certification of products shall also comply at all times with the following:

ISO/IEC Guide 65:1996(E) - General Requirements for Bodies Operating Product Certification Systems;

A list of HKCAS and HKAS Supplementary Criteria and copies of such documents are obtainable from the office of HKAS Executive. Such documents have also been uploaded to the website of HKAS.

When the accreditation service of HKCAS is extended to other certification systems, HKAS Executive will publish the necessary accreditation criteria for the new service.

- 3.2 For a certification body accredited for quality or environmental management system certification, it shall not use its accreditation status in a way that may be interpreted by any person that any product, process, system or person certified by such certification body has been approved by HKAS or HKAS Executive. It shall further endeavour to ensure that the organisations certified by it will implement the certified system at all time.
- 3.3 The requirements and conditions for the use of accreditation symbols on products certified under an accredited product certification scheme are specified in the relevant HKAS and HKCAS Supplementary Criteria.
- 3.4 If an accredited certification body intends to subcontract any part of its activities for which it is accredited, it shall ensure that the certification body, to which the activities will be subcontracted, is a certification body accredited for performing the activities by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS. A list of such accreditation bodies is obtainable from HKAS Executive. The certification body shall notify the customer in writing of its intention to subcontract the activities, the extent of such subcontract and the name of the subcontractor. The certification body shall further ensure that its customer agrees to such arrangement and shall keep all records of such subcontracted activities.
- 3.5 An accredited certification body shall have enforceable arrangements with each organisation holding a HKCAS accredited certificate which commit it to allow, on request, HKAS assessment teams to witness the certification body's audit teams performing audits, including access to its premises for doing so.

4 SUSPENDED OR TERMINATED ACCREDITATION

- 4.1 The authorised representative of a certification body which has its accreditation suspended or terminated (voluntarily or by HKAS Executive) shall within 14 days from the effective date of such suspension or termination, inform each of its customers of activities for which the accreditation has been suspended or terminated in writing of such suspension or termination.

5 USE OF HKAS ACCREDITATION SYMBOLS, CLAIMS OF ACCREDITATION STATUS AND USE OF CERTIFICATION MARKS

- 5.1 Every certification body accredited under HKCAS shall be awarded with a distinctive HKCAS accreditation symbol.
- 5.2 An organisation which is certified by a certification body accredited by HKAS may also use the HKCAS accreditation symbol of such certification body (subject to regulations set out in this document) to demonstrate to the public that it has been certified by a competent and impartial certification body accredited by HKAS.
- 5.3 A HKAS accredited certification body may use its HKCAS accreditation symbol on its certificates, stationery, documents, publications and its advertisements, subject to the regulations set out in this document and any other relevant requirements as specified from time to time by HKAS.
- 5.4 The form, size, colour and usage of the HKCAS accreditation symbol shall be in accordance with the HKAS Supplementary Criteria No.1.
- 5.5 An accredited certification body shall use distinctly different certification marks for different certification systems (such as Products, Quality Management System) and shall avoid confusion between the meanings of its marks.
- 5.6 An accredited certification body shall not use the HKCAS accreditation symbol on any document unless such document relates in whole or in part to an accredited activity of the certification body. However, the accredited certification body is allowed to print the accreditation symbol on its pre-printed letterhead paper.
- 5.7 Where an organisation is certified by a HKCAS accredited certification body, such certified organisation may use the HKCAS accreditation symbol of the accredited certification body in conjunction with the certification mark of the certification body. Any use of the accreditation symbol is subject to the regulations set out in this document, HKAS Supplementary Criteria No.1 and any other relevant HKCAS requirements as specified from time to time by HKAS.
- 5.8 An accredited certification body shall ensure that organisations certified for management system will **NOT** use the certification mark on a product, product packaging or a test certificate, or in any way that may be interpreted by any person as suggesting product certification.

- 5.9 An accredited certification body shall not use the HKCAS accreditation symbol on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to the accredited certification body's scope of accreditation. An accredited certification body shall ensure that the HKCAS accreditation symbol will not be used by any organisation certified by it on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to the accredited certification body's scope of accreditation and to the certification scope of the organisation.
- 5.10 An accredited certification body shall ensure that any organisation certified by it will only use the HKCAS accreditation symbol together with the certification mark in such a manner as set down in HKAS Supplementary Criteria No. 1 and any other relevant HKCAS Supplementary Criteria.
- 5.11 An accredited certification body shall not use the HKCAS accreditation symbol in any way that may be interpreted by any person as suggesting that HKAS Executive has certified or approved the activities of any organisation certified by it, or in any way which may have a misleading effect. It shall also take reasonable steps to ensure that any organisation certified by it will not use the HKCAS accreditation symbol in such a way.
- 5.12 If the accreditation in relation to any activity under the scope of accreditation of a certification body is suspended or terminated (voluntarily or by HKAS Executive), the certification body shall immediately cease to use and to distribute any certificate, stationery, document, publication or advertisement which bears its accreditation symbol, save for those which relate in whole or in part to activities having valid accreditation.
- 5.13 If the accreditation of an accredited certification body for a certification system is terminated, the certification body shall take all steps to ensure that its certified organisations will cease to use the HKCAS accreditation symbol, save for those which relate in whole or in part to certification systems, the accreditation of which is not terminated.

6 FORMS

- 6.1 Application for any HKCAS service from HKAS shall be made in appropriate forms. These forms are obtainable from the office of HKAS Executive and have been uploaded to the HKAS website.

HKAS Executive
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