

HKCAS Supplementary Criteria No. 3

Accreditation Programme for Consumer Product Certification

1 INTRODUCTION

- 1.1 The accreditation criteria for consumer product certification include HKAS 002, ISO/IEC Guide 65: 1996 (“the Guide”), the latest edition of IAF Guidance on the application of ISO/IEC Guide 65 (“the Guidance”), and the current edition of this document which serves to amplify the accreditation requirements in the Guide and the Guidance.
- 1.2 Accreditation of consumer product certification schemes under Hong Kong Certification Body Accreditation Scheme (HKCAS) is open for voluntary application from any certification body operating a third-party product certification system of type 1b, 2, 3, 4 or 5 as described in ISO/IEC Guide 67: 2004 for specific types of consumer product. The certification body operating the product certification system shall be a legal entity or part of a legal entity in Hong Kong and the product certification schemes to be accredited shall be developed in accordance with the relevant requirements of ISO/IEC Guide 28: 2004.
- 1.3 Products covered in the product certification schemes may include products supplied for consumers’ private use or consumption. The types of consumer product covered under this accreditation programme and the applicable types of product certification system are listed in the HKCAS website <http://www.itc.gov.hk/en/quality/hkas/hkas/about.htm> and may be amended from time to time.

- 1.4 The details of the accreditation for an accredited certification body are given in its current scope of accreditation. The details include identification of the accredited certification schemes, a brief description of each scheme including certification criteria and evaluation and surveillance regime, its classification in accordance with ISO/IEC Guide 67, the types of product to which it is applicable, the mark of conformity which may be shown on certified products and the address of the website used by the certification body for listing of certified products.
- 1.5 Fees for application, assessment and other accreditation services are charged in accordance with HKCAS 006.
- 1.6 The accreditation process and regulations given in HKAS 002 are applicable to this accreditation programme.
- 1.7 Accreditation of a certification body for product certification is an attestation that the certification body is competent in operating the certification schemes for which it is accredited in accordance with the accreditation criteria. Accreditation is not a guarantee that an accredited certification body will operate the certification schemes for which it is accredited in accordance with the accreditation criteria all the time. Furthermore, accreditation is not a guarantee that any organisation nor any product certified under an accredited certification scheme is in conformity with all requirements of the certification scheme. HKAS does not endorse, sanction or approve in any way, any organisation nor any product certified under any accredited certification scheme. Conversely, failure to obtain certification from an accredited certification scheme does not imply that HKAS has refused to endorse, sanction or approve in any way the applicant organisation or the product to be certified.

2 DEFINITIONS

- 2.1 In this document, the definitions of the following terms in the Guide, the Guidance and ISO/IEC Guide 23 apply :-
- (a) certificate of conformity,
 - (b) certification scheme,

- (c) certification system,
- (d) mark of conformity,
- (e) standard, and
- (f) supplier.

2.2 To avoid confusion with the process in which HKAS Executive assesses the competence of an applicant or accredited certification body, the term “evaluation” is used in this document to refer to the process in which a certification body uses to evaluate the conformity of an organisation or a product with a given consumer product certification scheme. In ISO/IEC Guide 28 and ISO/IEC Guide 67, this process is termed “assessment”.

3 HKAS ASSESSMENT PROCESS

- 3.1 To apply for accreditation, an applicant certification body shall complete an application form HKCAS 005 and provide the details of the certification body, and its consumer product certification system and schemes to be accredited in HKCAS 013 application questionnaire. All supporting documents, including the quality manual of the certification system, documents of the certification schemes as required in HKCAS 013, and the appropriate application fee shall be provided together with the completed HKCAS 005 and HKCAS 013 to HKAS Executive.
- 3.2 Upon receipt of a complete application, HKAS Executive will review whether it can be accepted. HKAS Executive may ask for more information or documents before determining whether it is acceptable. If the application cannot be accepted, HKAS Executive will inform the applicant certification body of the reason in writing. In general, an application cannot be accepted if it is incomplete, the application fee has not been provided or if HKAS does not provide the required accreditation service.

Pre-assessment visit

- 3.3 After acceptance of an application from an applicant certification body which has not been accredited under HKCAS, an accreditation officer of HKAS Executive will conduct a pre-assessment visit at a mutually acceptable time to the office of the applicant certification body to advise it on accreditation requirements. This visit will usually last for half to one day.
- 3.4 If the applicant certification body has been accredited for a certification field under HKCAS, the application for accreditation of consumer product certification is considered as an extension into a new certification field. No pre-assessment visit will be covered by the application fee. However, as product certification is carried out in accordance with ISO/IEC Guide 65 which is different from other type of certification, e.g., quality management system or environmental management system, it is strongly recommended that the applicant certification body request the HKAS Executive to conduct a pre-assessment visit at an additional fee.

Initial assessment

- 3.5 Assessments are conducted by HKAS assessment teams. A HKAS assessment team usually consists of a team leader and technical assessors, and technical experts where necessary. Each consumer product certification scheme will be assessed against the requirements in the Guide, the Guidance and this document.
- 3.6 An initial assessment consists of two parts: assessment at the office of the applicant certification body and on-site witnessing of evaluation processes performed by the personnel of the applicant certification body. Where any evaluation activity, including testing and inspection, is conducted by a subcontractor which has not been accredited by HKAS or one of its mutual recognition arrangement (MRA) partners for the specific activity, the applicant certification body's evaluation of the subcontracted testing laboratory or subcontracted inspection body will be assessed by HKAS assessment team during the initial assessment.

- 3.7 Where the applicant certification body performs activities which have significant impact on evaluation and certification results at a branch office, the branch office will have to be assessed as well. Depending on the complexity of the certification system, the number of consumer product certification schemes to be assessed and the structure of the applicant certification body, an assessment may involve multiple visits to different locations on different dates. The detailed assessment schedule is to be agreed between the applicant certification body and HKAS Executive.
- 3.8 All personnel involved in the consumer product certification schemes to be assessed, including those conducting on-site evaluations and those making certification decisions shall be available for interview by the HKAS assessment team during the initial assessment.
- 3.9 In addition to administrative and management aspects, all technical aspects will be assessed, including but not limited to the following :-
- (a) the technical inputs to the design/development of each consumer product certification scheme to be assessed,
 - (b) the input from, and acceptance by, stakeholders of the consumer product certification scheme,
 - (c) the process for validation of each consumer product certification scheme and the monitoring of its on-going effectiveness,
 - (d) the availability of technical documents, and their maintenance,
 - (e) contract reviews/preparations for evaluation carried out by the applicant certification body,
 - (f) the technical management processes and competence criteria of personnel involved in all stages of evaluation and certification,
 - (g) the arrangements to ensure the integrity of audits, sample testing, inspection and surveillance activities,
 - (h) the analysis to determine the competence criteria of personnel,
 - (i) the records of personnel training, qualifications and experience,
 - (j) the product certification decision-making process, and
 - (k) the quality assurance procedures for the above activities.

- 3.10 Emphasis will be given to assessing whether each consumer product certification scheme, including the combination of initial evaluation procedure, sampling procedure, surveillance and other measures and the time to be spent for each step of the evaluation process as specified by the certification scheme, is effective in giving the required assurance to the quality of the certified product. The applicant certification body should keep record of development of the certification scheme, its validation process and feedback obtained from implementing the scheme to demonstrate its continuing effectiveness. Attention will also be given to the effectiveness of the quality assurance procedures, including the checking to be carried out after every certification step. The competence of the personnel assigned to conduct checking, whether sufficient information is recorded to allow effective checking, and the mechanism to initiate and monitor the remedial action in case discrepancies are identified in the checking process will be carefully assessed by the HKAS assessment team.
- 3.11 Upon completion of an initial assessment, the HKAS assessment team will provide a written report to the management of the applicant certification body.
- 3.12 All non-conformities raised in the report of the HKAS assessment team will be graded. Depending on their effects on the quality of the consumer product certification schemes being assessed and the credibility of the accreditation programme, they will be graded significant or minor. In extreme cases where there is evidence that a non-conformity or a series of non-conformities seriously threatens the credibility of the accreditation programme, it will be necessary for the HKAS assessment team to issue a critical non-conformity. By the definition of critical non-conformity, it is unlikely that they will be raised in an initial assessment. All significant non-conformities shall be rectified by the applicant certification body within six months of the initial assessment. All minor non-conformities shall be rectified within a period warranted by their seriousness. Verification of the effectiveness of the remedial actions for minor non-conformities will normally be conducted in the next surveillance visit.

- 3.13 The applicant certification body shall report the actions it has taken to rectify any non-conformities in writing together with supporting evidence to HKAS Executive within six months of the initial assessment. In general, when all significant non-conformities have been rectified to the satisfaction of the HKAS Executive, accreditation will be granted to the applicant certification body. The scope of accreditation will list in detail the consumer product certification schemes the applicant certification body has been found to be competent in performing.

Surveillance Visit

- 3.14 After accreditation has been granted, HKAS Executive will in most cases conduct surveillance visits at a frequency not less than once a year to the accredited certification body in accordance with the provision in HKAS 002. Similar to an initial assessment, a surveillance visit is performed by a HKAS assessment team or an accreditation officer of HKAS Executive.
- 3.15 The procedures for a surveillance visit are similar to an initial assessment but only selected aspects of operation will be assessed. They may include office assessment and on-site witnessing of evaluation processes as appropriate. The size of the HKAS assessment team and the duration of the visit will usually be smaller or shorter than those for an initial assessment. Emphasis will be given to how effective the certification system has been operating, any significant changes to the accredited certification body, particularly changes in personnel, and its accredited consumer product certification system and schemes.
- 3.16 Upon completion of a surveillance visit, the HKAS assessment team will provide a report to the management of the accredited certification body. The content of the report is similar to that of the report for an initial assessment, but only the aspects assessed in the surveillance visit will be covered.
- 3.17 When a critical non-conformity has been raised, HKAS Executive will review the case and may suspend the accreditation of the relevant consumer product certification schemes in accordance with the provisions in Chapter 6 of HKAS 002. A certification body which has its accreditation suspended shall follow the procedure detailed in Chapter 6 of HKAS 002.

- 3.18 To maintain the accreditation, the accredited certification body shall rectify all critical and significant non-conformities and report the same in writing with evidence to HKAS Executive within two months of the surveillance visit. For minor non-conformities, the certification body shall rectify them before the next surveillance visit/reassessment.

Reassessment

- 3.19 HKAS Executive will conduct a reassessment on the accredited consumer product certification schemes of an accredited certification body every three years. The procedures and coverage of a reassessment are similar to those of an initial assessment. Changes to the certification body, its accredited consumer product certification system and schemes, and the effectiveness of corrective actions taken against the findings of previous assessments and surveillance visits will also be reviewed. The extent of witnessing for various evaluation processes will depend on the size of the certification system and the complexity of the certification schemes, and may be varied depending on the performance of the certification body.
- 3.20 The certification body to be reassessed will be requested to provide briefing notes for use by the HKAS assessment team in accordance with given instruction.
- 3.21 If a particular accredited consumer product certification scheme has not been used by the certification body for a long time, the certification body will be required to provide additional evidence to demonstrate that it still retains the necessary competence.
- 3.22 Upon completion of a reassessment, the HKAS assessment team will provide a report of the findings of the reassessment to the management of the certification body.
- 3.23 When a critical non-conformity has been raised, HKAS Executive will review the case and may suspend the accreditation of the relevant consumer product certification schemes in accordance with the provisions in Chapter 6 of HKAS 002. A certification body which has its accreditation suspended shall follow the procedure detailed in Chapter 6 of HKAS 002.

- 3.24 To maintain the accreditation, the accredited certification body shall rectify all critical and significant non-conformities and report the same in writing with evidence to the HKAS Executive within two months of the reassessment. For minor non-conformities, the certification body shall rectify them before the next surveillance visit/reassessment.

Extension of scope of accreditation

- 3.25 When an accredited certification body wants to have its scope of accreditation extended to cover new or substantially updated consumer product certification schemes, it shall submit two duly completed documents, HKCAS 005 and HKCAS 013, together with the relevant documents and the required application fee to HKAS Executive for processing.
- 3.26 Depending on the changes to be made, an on-site assessment visit to assess the amendment to the scope of accreditation may be conducted by a HKAS assessment team or an accreditation officer of HKAS Executive. An assessment for extension of scope of accreditation may be conducted concurrently with a reassessment or a surveillance visit. The aspects to be covered depend on the changes requested.
- 3.27 Reporting of findings for an assessment visit for extension of scope of accreditation, rectification of any non-conformities and granting of accreditation for the requested extension shall be carried out in accordance with procedures similar to those for an initial assessment.

4 CONSUMER PRODUCT CERTIFICATION SCHEMES

- 4.1 A consumer product certification scheme to be accredited shall be based on widely acceptable international/national product standards. The scheme shall be formulated with balanced input from all stakeholders.

- 4.2 A certification body may refer to the model checklist of requirements at Annex A of ISO/IEC Guide 28: 2004 for establishing a certification scheme for specific types of consumer product. The scheme shall be described in a document. This document shall also state the target market of the product, where applicable, and the national/international standards applicable to the product. The certification body may not necessarily own the scheme document but it must have the right to use the document for performing certification.
- 4.3 For a consumer product certification scheme with market surveillance, the applicant certification body shall demonstrate to the HKAS assessment team that it has adequate knowledge of the distribution channels for the type of consumer product being evaluated to ensure that its surveillance findings are meaningful and representative.
- 4.4 A brief description of the consumer product certification schemes of an applicant/accredited certification body should be available freely to the public, preferably as information posted in the website of the certification body which is accessible freely to all visitors to the website.

5 PERSONNEL

- 5.1 The evaluation of a supplier shall be performed by an auditor or an evaluation team consisting of a lead auditor and auditor(s) and technical expert(s) where applicable. The evaluation team may include a trainee auditor who has not been qualified to be an auditor but the responsibility assigned to him/her for evaluation of the supplier should be limited. In addition, the trainee auditor shall work under the direct supervision of an auditor or a lead auditor.

- 5.2 An applicant/accredited certification body shall provide and maintain a working environment to all its personnel under which they can work in accordance with the requirements of the relevant consumer product certification schemes without undue pressure from internal and external parties. The certification body shall also implement a system to uphold the integrity of their staff working at premises of suppliers or other locations outside its office. The certification body shall make known to the suppliers its policy in this aspect and ask the suppliers to comply with this policy as part of the contract for providing consumer product certification service. The certification body may also instruct its auditors to ask a representative of the supplier to sign to acknowledge the integrity policy statement on all significant interaction occasions between an auditor and staff of the supplier. The certification body shall also issue a code of conduct to all its personnel, which sets out their expected conduct when they interact with representatives of the suppliers or other parties.
- 5.3 The applicant/accredited certification body shall evaluate the skill, knowledge and other requirements for all positions involved in its product certification activities, including lead auditors, auditors, technical experts and staff members (including members of a committee) responsible for making certification decisions. The competence of the certification body in making such evaluation and the quality of evaluations which have been made will be assessed by HKAS assessment teams during assessments.
- 5.4 An auditor or a lead auditor shall hold a higher diploma in an engineering, technology or science discipline issued by a recognized educational institution in Hong Kong, or equivalent qualification, and shall have at least five years of post qualification experience in a relevant industry. For an auditor or a leader auditor holding a higher academic qualification, the required post qualification experience in a relevant industry may be shortened. HKAS Executive may accept alternative qualifications and experience of an auditor or a lead auditor for a consumer product certification scheme provided that the certification body is able to demonstrate that he/she has the required competence to perform the evaluation activities. Every auditor or lead auditor shall be qualified through the appraisal system set up by the certification body to ensure that he/she has adequate competence for conducting evaluation activities he/she is assigned to conduct.

- 5.5 A lead auditor shall have acquired additional audit experience to develop the knowledge and skills for a team leader as described in Section 7 of ISO 19011. This additional experience should have been gained while acting in the role of a lead auditor under the direction and guidance of another competent lead auditor.
- 5.6 An applicant/accredited certification body shall implement a system to monitor the performance of its lead auditors, auditors and technical experts. On-site evaluation of the competence of every auditor and lead auditor shall be performed at least once every three years. The evaluation shall cover all aspects of the activities that the auditor have been authorised by the certification body to perform. Corrective actions shall be taken if there is any doubt on the competence of a lead auditor, an auditor or a technical expert.
- 5.7 A technical expert provides technical support to an auditor or a lead auditor. A technical expert need not be trained on auditing techniques but must have the required qualification, experience and technical knowledge for the evaluation activities to be carried out. For example he/she should :-
- (a) have an appropriate knowledge and understanding of the specific industry relating to the consumer product to be evaluated;
 - (b) be conversant with the design and production of the consumer product to be evaluated;
 - (c) be familiar with the product standard, including statutory and regulatory requirements on the consumer product to be evaluated;
 - (d) have sufficient understanding of, and expertise in, the technical aspects of the consumer product certification scheme; and be able to evaluate effectively the conformity of the consumer product to specification and the supplier's compliance with the consumer product certification scheme.

He/she shall work under the direction and close supervision of an auditor or a lead auditor.

- 5.8 Certification decisions may be made by a staff member or a committee. In case the decision is made by a staff member, he/she shall hold a degree or above academic qualification in an engineering, technology or science discipline issued by a recognized tertiary educational institution in Hong Kong, or equivalent qualification, and have at least seven years of post qualification experience in consumer product certification or a relevant industry.
- 5.9 In case the certification decision is made by a committee, the applicant/accredited certification body shall ensure that the committee members who make the decision on granting/withdrawing a certification shall have a level of knowledge and experience sufficient for making a sound decision based on the results of information obtained from the evaluation processes. Furthermore, the committee shall collectively possess the qualification and experience not less than those listed in Clause 5.8 above. The certification body shall also have documented procedures for the committee to make sound certification decisions and the committee members are conversant with the decision criteria. It may be necessary to provide appropriate training to committee members.

6 TRAINING

- 6.1 An applicant/accredited certification body shall evaluate the training needs for its personnel and provide them the necessary training. All auditors and lead auditors shall be trained on auditing techniques, and requirements of the relevant consumer product certification schemes. The personal attributes set out in Section 7 of ISO 19011: 2002 shall form the basis of the training.
- 6.2 The training of an auditor or a lead auditor who is required to perform inspection activities shall cover the following aspects :-
- (a) requirements of ISO/IEC 17020: 1998 and HKIAS Supplementary Criteria No. 1; and
 - (b) principle and practice of the manufacturing processes for the specified consumer products.
- 6.3 The training of an auditor or a lead auditor who is required to witness testing activities at a testing laboratory shall cover at least the following aspects :-

- (a) requirements of ISO/IEC 17025: 1999/2005; and
- (b) requirements of the applicable product standards.

6.4 After training, the competence of an auditor or a lead auditor shall be evaluated. The auditor shall only be authorised to perform independently the type of activities he/she has been appraised to be competent. The auditor's competence record shall indicate clearly what types of activities he/she has been appraised to be competent.

6.5 All staff members responsible for making decisions on certification shall be trained on making such decisions. The purpose of the training is to give them in-depth knowledge of the relevant certification schemes, the factors to be considered and how they affect the certification decision, the records to be kept, the actions to be taken when there is doubt on the information provided or when further information is required for making a decision, the criteria and process for granting, maintaining, extending, suspending and withdrawing a certification, the condition under which they may contact the suppliers and precautions to be taken to protect the integrity of the certification process under such interaction and other information necessary to carry out and assure the quality of their work. Before a staff member is allowed to make decision on certification, he/she must be appraised to be competent. At the initial phase when he/she is allowed to make decision on certification, the validity and quality of such decisions shall be monitored closely.

7 TESTING

7.1 An applicant/accredited certification body may test the consumer product being evaluated by any one or more of the following :-

- (a) Conduct the test in the certification body's in-house or site testing laboratory which is operating in accordance with ISO/IEC 17025. If the laboratory is not accredited by HKAS or one of its MRA partners to ISO/IEC 17025 for that specific test, the competence of the laboratory will be assessed by HKAS assessment teams during assessments of the consumer product certification schemes. Where the certification body may use equipment and other facilities provided by others to conduct tests on-site, the certification body shall have checking procedures to ensure that such equipment and facilities are fit for the purpose. Record of the checks shall be kept.
 - (b) Subcontract the test to a testing laboratory accredited by HKAS or one of its MRA partners to ISO/IEC 17025 for the test.
 - (c) Witness the test conducted at a testing laboratory operating in accordance with ISO/IEC 17025. The certification body shall provide evidence that the laboratory is competent to perform the relevant test in accordance with ISO/IEC 17025, such as documented evaluation performed by qualified personnel according to appropriate procedures. Before witnessing a test, the auditor shall perform simple checks on relevant technical aspects of the laboratory which may affect the validity of the test results as detailed in ISO/IEC 17025. Record of witnessing the test, which shall include sufficient information to demonstrate that the test results are valid and all findings of the checks, shall be kept. All auditors authorised for witnessing tests will be assessed by HKAS assessment teams during assessments of the consumer product certification schemes.
- 7.2 Test results shall be presented in the form of a test report or another suitable format in accordance with Section 5.10 of ISO/IEC 17025.
- 7.3 For test conducted by a laboratory accredited to ISO/IEC 17025 by HKAS or one of its MRA partners, the competence of the testing laboratory is considered demonstrated if the test results are presented in an endorsed test report which bears the accreditation mark of the accreditation body.

8 INSPECTION OF PRODUCT/PROCESS

- 8.1 If the applicant/accredited certification body performs any inspection activities to support the consumer product certification schemes already accredited or being evaluated, they shall be conducted in accordance with the requirements of ISO/IEC 17020 and HKIAS Supplementary Criteria No. 1. The performance of such inspection activities will be assessed by HKAS assessment teams during assessments of the consumer product certification schemes.
- 8.2 Inspection activities may be subcontracted to an inspection body which is accredited by HKAS or one of its MRA partners to ISO/IEC 17020 for the inspection activities.
- 8.3 Inspection activities may also be subcontracted to an inspection body which is operating in accordance with ISO/IEC 17020. The certification body shall provide evidence that the inspection body is competent to perform the relevant inspection activities in accordance with ISO/IEC 17020, such as documented evaluation performed by qualified personnel according to appropriate procedures.
- 8.4 Inspection results shall be presented in the form of an inspection report or another suitable format in accordance with Section 13 of ISO/IEC 17020.
- 8.5 For inspection conducted by an inspection body accredited to ISO/IEC 17020 by HKAS or one of its MRA partners, the competence of the inspection body is considered demonstrated if the inspection results are presented in an endorsed inspection report which bears the accreditation mark of the accreditation body.

9 EVALUATION OF PRODUCTION PROCESS AND QUALITY SYSTEM

- 9.1 Evaluation of a supplier's production process and quality system shall form part of the applicant/accredited certification body's evaluation of the supplier. The certification body should refer to the model questionnaire given in Annex C of ISO/IEC Guide 28: 2004 when developing its procedures for evaluation of production process and quality system.
- 9.2 Where a consumer product certification scheme requires the supplier to comply with specified quality or other types of management system requirements, the applicant/accredited certification body shall evaluate the supplier in accordance with the specified requirements. The competence of the certification body in evaluating the supplier's management system will be assessed by HKAS assessment teams during assessments.
- 9.3 Where a consumer product being evaluated is manufactured in more than one factory, the applicant/accredited certification body shall evaluate the production process and quality system of each and every factory in accordance with requirements of the consumer product certification schemes unless there is evidence to demonstrate that the supplier can effectively control the quality of the products and under such case, the sampling scheme for factories to be evaluated should be representative and reliable to ensure that all factories have equal chance of being sampled for evaluation. Suppliers of parts or sub-assemblies to the factories need not be evaluated as long as the factories have an effective system to assure the quality of the incoming parts or sub-assemblies.
- 9.4 The depth and effectiveness of the evaluation of the production process and quality system will be a major focus of assessments. They depend on the knowledge, training, and experience of the auditor and the time assigned for him/her to complete the evaluation.

10 CERTIFICATE AND MARK OF CONFORMITY

- 10.1 An applicant/accredited certification body shall comply with the requirements on the certificate of conformity given in Section 7.2 of ISO/IEC Guide 23 and Section 11 of ISO/IEC Guide 28.
- 10.2 An accredited certification body may issue a HKCAS accredited certificate which bears the HKCAS accreditation mark for a consumer product which is certified to be in conformity with its accredited consumer product certification scheme provided that the certification body complies with the requirements specified in HKAS 002, HKAS Supplementary Criteria No. 1 and this document.
- 10.3 An accredited certification body shall include in a HKCAS accredited certificate the following items :-
- (a) the HKCAS accreditation mark which includes the certification body's registration number, and
 - (b) on the same page, the following statement :-
"Hong Kong Accreditation Service (HKAS) has accredited this certification body under the Hong Kong Certification Body Accreditation Scheme (HKCAS) for specific consumer product certification scheme as listed in the HKCAS Directory of Accredited Certification Bodies. The results shown in this certificate were determined by this certification body in accordance with its terms of accreditation."
- 10.4 The term "HKCAS" and the HKCAS accreditation mark shall not be used on any certificate except in a HKCAS accredited certificate.
- 10.5 HKCAS accredited certificates shall only contain the results of activities for which the certification body is holding valid accreditation.
- 10.6 The results of any activity which has not been accredited can only be included in a HKCAS accredited certificate if HKAS Executive has explicitly approved such inclusion in writing. The HKCAS accredited certificate which contains the said results shall clearly state therein that the activity is not covered by the certification body's HKCAS accreditation.

- 10.7 An accredited certification body shall keep at least one exact copy of every HKCAS accredited certificate issued by it for record. It shall also keep such copies, all original observations and records in relation to any accredited certification performed by it for a period of not less than that defined in Section 12 of this document.
- 10.8 Every HKCAS accredited certificate shall comply with the accreditation criteria as specified by HKAS Executive from time to time.
- 10.9 An applicant/accredited certification body shall provide the format of its proposed HKCAS accredited certificate to HKAS Executive for approval before use.
- 10.10 The certification mark used by an applicant/accredited certification body for its consumer product certification system shall be distinctly different from the marks used by it for its other certification systems.
- 10.11 An applicant/accredited certification body shall comply with the requirements on the mark of conformity given in ISO/IEC 17030. The certification body may allow its certified organisations to apply its mark of conformity to consumer products which are certified to an accredited type 2, 3, 4 or 5 certification system.
- 10.12 The applicant/accredited certification body shall maintain an up-to-date list of products which it has certified. The list shall be made available to the public and shall be published on the certification body's website as a document freely accessible to the public. The list should have links to the document describing the relevant consumer product certification schemes as described in 4.4 above.
- 10.13 In case it is not feasible to include the identification number and year version of a product standard in the mark of conformity for a certified product, the applicant/accredited certification body shall include a reference number of the consumer product certification scheme in the mark of conformity. Such reference number shall provide a link to the public accessible details of the consumer product certification scheme in the certification body's website.

11 ACCREDITATION MARK AND CLAIM OF ACCREDITATION STATUS

- 11.1 An accredited certification body shall inform its certified organisations of the HKAS policy for use of accreditation mark and claim of accreditation status as stated in HKAS Supplementary Criteria No. 1. In particular :-
- (a) HKAS does not allow the HKCAS accreditation mark be shown on the certified product or any materials accompanying the product, e.g. packaging, instruction manual, etc. or on any advertisement or publicity material of a product.
 - (b) A certified organisation shall not use the HKCAS accreditation mark to imply that HKAS has in any way endorsed, sanctioned or approved the certified organisation or the certified product.
 - (c) The HKCAS accreditation mark shall only be used in conjunction with the certification mark of the certification body.

Accredited certification bodies shall ensure that these HKAS regulations on the use of the HKCAS accreditation mark are understood and implemented by its certified organisations through regular monitoring.

12 RECORDS

- 12.1 An accredited certification body shall keep all certification records for at least 10 years after the expiry of the certificate of conformity of a certified product.
- 12.2 Where records are stored, retrieved, transmitted or processed electronically, the accredited certification body shall establish and implement procedures to ensure the integrity and confidentiality of the records.
- 12.3 An accredited certification body may take and keep photos and/or video images of certified products to demonstrate that samples have been correctly taken or to show details of any observed defects. Records may include supplementary information for interpretation of the recorded data. The certification body may also retain samples of the certified products as its certification records.

12.4 When an accredited certification body has branch office(s) as mentioned in Clause 3.7 above, certification records shall be retrievable within a reasonable time from its head office and any branch offices involved in relevant certification process.

13 APPEALS, COMPLAINTS AND DISPUTES

13.1 When an accredited certification body cannot satisfactorily resolve an appeal, a complaint or a dispute involving a HKCAS accredited consumer product certification scheme within 60 days from the date of receiving it, the certification body is required to notify HKAS Executive in writing the details of the appeal, complaint or dispute immediately.

HKAS Executive
July 2005

APPENDIX

NORMATIVE/INFORMATIVE DOCUMENTS

Where an undated document is specified below, the latest edition of that document is referred.

1. HKAS 002, Regulations for HKAS accreditation
2. HKAS Supplementary Criteria No. 1, Use of HKAS accreditation marks and claims of accreditation status
3. HKIAS 003, Criteria for accreditation of inspection bodies
4. HKIAS Supplementary Criteria No. 1, Consumer product inspection
5. HOKLAS 003, Technical criteria for laboratory accreditation
6. IAF Guidance on the application of ISO/IEC Guide 65: 1996
7. ISO 19011: 2002, Guidelines for quality and/or environmental management systems auditing
8. ISO/IEC 17020: 1998, General criteria for the operation of various types of bodies performing inspection
9. ISO/IEC 17025: 1999/2005, General requirements for the competence of testing and calibration laboratories
10. ISO/IEC 17030: 2003, Conformity assessment – General requirements for third-party marks of conformity
11. ISO/IEC Guide 7: 1994, Guidelines for drafting of standards suitable for use for conformity assessment
12. ISO/IEC Guide 23: 1982, Methods of indicating conformity with standards for third-party certification systems
13. ISO/IEC Guide 28: 2004, Conformity Assessment – Guidance on a third-party certification system for products
14. ISO/IEC Guide 65: 1996, General requirements for bodies operating product certification systems
15. ISO/IEC Guide 67: 2004, Conformity assessment – Fundamentals of product certification