

### **Granting of certification**

1. Upon completion of a two-stage initial certification audit and satisfactory verification of the implementation of effective corrections and corrective actions taken, the audit team will determine “Recommendation whether or not to grant certification, together with any conditions or observation”. Nevertheless, such recommendation will not bind CCSL for granting certification.
2. CCSL will inform the client if an additional full audit / product test, an additional limited audit, or documented evidence is needed to verify the effectiveness of correction and corrective actions. If there is (are) major nonconformity(ies) raised in initial certification audit and CCSL is not able to verify the implementation of corrections and corrective actions of such major nonconformity(ies) within 6 months after the last day of stage 2, CCSL shall conduct another stage 2 prior to recommending certification.
3. An Reviewer is responsible for reviewing audit report, verifying any deviation of audit operation process, then providing a recommendation for final certification determination.
4. Upon receipt of the recommendation made by the Reviewer, the Chief Executive after considering all sort of information, requirements and factors relevant to certification including risk, impartiality, reviewer’s recommendation and / or comments as well as applicable HKAS guidelines and requirements, will make an ultimate decision for the issuance of a certificate.

## **Maintaining and Renewing of Certification**

1. A certificate will be issued to a certified organization for an initial period of 3 years and renewed every 3 years from the date of certification decision. Continued certification is subject to the fulfillment of the CCSL “Terms and Conditions of Services”, the status of payment of audit fees, and the continuous assessment results within the 3-year certification cycle.
  
2. **Surveillance Visits (SVs)** will be scheduled by CCSL Scheduler at planned interval depending on respective scheme of certification. Its aims is to provide CCSL confidence that its certified client’s management system or product continuing to fulfill requirements of respective Schemes and the CCSL “Terms and Conditions of Services” within the certification cycle.  
For management system certification, the date of first surveillance visit following initial certification shall not be more than 12 months from the certification decision date. Subsequent surveillance visits shall be conducted at least once a calendar year, preferably 12 months.  
For product certification, the date of first surveillance visit following initial certification shall not be more than 12 months from the last day of the plant audit.
  
3. **Recertification audit (RA)** will be scheduled and conducted in due time to enable for timely renewal before the certificate expiry date.  
Recertification audit activities may need to have a Stage 1 audit in the situations where there have been significant changes to the certified management system, the certified organization structure, the certified product(s), or the context in the management system is operating. In case such significant change is occur at any time during the certification cycle, CCSL may need to perform a special (additional) audit when necessary.  
When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification.  
If CCSL is unable to complete a recertification audit or to verify the implementation of corrections and corrective actions for major nonconformity prior to the expiry date of the existing certification, then recertification shall not be recommended and the validity of the certification shall not be extended.

### **Restoring of Certification**

1. If following expiring of certification, CCSL can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a Stage 2 audit shall be conducted. Effective date of the certificate shall be on or after the recertification decision making while its expiry date is based on prior certification cycle.
2. If following the resolution of the issue that was resulted in the suspension of certification, CCSL can restore the suspended certification documents within 6 months from the effective date of suspension. Failure to resolve the issues that have resulted in the suspension shall result to the withdrawal of certification.  
For product certification, if certification is reinstated or restored after suspension, CCSL shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate evidences to indicate that the product continues to be certified.

### **Refusing of Certification**

It is seldom to have refusing certification, unless following criteria are met or situations are known:

- (a) If it is known that the activities or products applied for certification or the applicant itself will introduce or may have a threat to CCSL's impartiality, conflict of interests, reputation, company image, certification activities as well as its business, CCSL will consider refusing to accept its application, nor to continue its certification audit or to grant certification, nor to renew its certification, subject to at which stage it happens.
- (b) If it is known that the activities or products applied for certification are not in-line with its application, CCSL will consider refusing to accept its application.
- (c) If it is observed in Stage 1 audit that the readiness of the client's system and equipment for application for product certification is not proper, CCSL may consider refusing to accept its application.
- (d) If it is known that the activities or products applied for certification are beyond CCSL's capacity and capability, CCSL will consider refusing to accept its application.
- (e) If it is known that there are illegal issues involved before or during application or certification CCSL will consider refusing to accept its application nor to continue its certification audit nor to grant certification, nor to renew its certification, subject to at which stage it happens.

### **Expanding or Reducing of Certification Scope or Site, Relocation of Certification Sites, and Minor amendment of Scope Statement**

1. When certified client intends to expand or reduce its certified scope or certification site, or when certified client requires to relocate the certification site(s), submission of an application is needed. Upon receipt of the application form, CCSL shall make a review of the application for extension or reduction of the certification scope or site already granted, and decide whether or not an audit is required. If it is required, the audit shall be conducted in conjunction with a surveillance audit or, in special situation, independent from planned audits.
2. If a decision to reduce the scope of certification is made as a condition of reinstatement or restoring of certification, CCSL shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certificate and public information.
3. When certified client requires to fine-tune / amend the wording of existing granted scope statement to meet its business needs, submission of request is needed. Upon receipt of the request, CCSL shall make a serious review of the proposed wording of scope statement and will make a decision with justification.

## **Suspending of certification**

1. CCSL may suspend a certificate when a certified organization falls into one of the following scenario:
  - (a) voluntarily request for suspension of certification or
  - (b) fails to abide by any of the obligations as described below:
    - i. commits a breach of the “Terms and Conditions of Services”, provided that if the breach is capable of remedy, the notice shall only be given if an Organization shall not have rectified the same within one month of having been given notice in writing specifying the breach and requiring it to be rectified
    - ii. becomes bankrupt, subject to the bankruptcy laws or makes any arrangements or composition with its creditors, or enters into liquidation, whether compulsory or voluntary (but not including liquidation for the purpose of reconstruction), or has a Receiver of its business appointed, or an officer of an Organization is convicted of an offence tending to discredit the reputation and good faith of the Organization as a trader
    - iii. fails at any time to comply with any terms of certification
    - iv. is found to be incompetent in carrying out of any certified activities or to be incapable of complying with any of the relevant certification criteria. If the certified client fails to implement correction and corrective action effectively to close / clear the non-conformity.
    - v. fails the product testing twice, when required, and in follow-up audit under product certification scheme
    - vi. is involved in any impropriety, corrupt practice other activities which is prejudicial to HKAS’s / CCSL’s reputation
    - vii. fails to complete the payment of invoices issued by CCSL
    - viii. CCSL receives an adverse audit report and not-to-grant recommendation from the audit team.
2. The maximum period allowed for certification suspension is six months from the effective date of the suspension or six months from the expiry date of certificate.
3. If certification is terminated or suspended or withdrawn (no matter by the request of the certified client or not), CCSL shall take actions specified by corresponding and respective certification scheme and shall make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified.
4. For product certification, if certification is suspended, the Chief Executive shall assign the Manger(Audit) to formulate and communicate the following to the customer:
  - (a) Actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme;
  - (b) Any other actions required by the certification scheme.
  - (c) The person assigned shall be competent in their knowledge and understanding of

all aspects of the handling of suspended certifications.

(d) Any evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, shall be completed in accordance with CCSL's internal procedure.

5. If a certified Organization is temporarily unable to comply with the requirements of the CCSL Terms and Conditions of Services, CCSL may require the Organization in question to discontinue the use of Logo or any claim to certification under the Scheme with immediate effect until it is satisfied that the conditions of certification are again complied. However, the suspension shall not exceed more than 6 months.
6. Under suspension, the client's management system certification or product certification is temporarily invalid but certification can be restored within 6 months from the effective date of suspension. Failure to resolve the issues that are resulted in the suspension shall result to the withdrawal of certification or reduction of scope, subject the nature of each suspension case. Certification can be restored within 6 months from the effective date of suspension.

## **Withdrawing of certification**

1. CCSL may withdraw a certificate when a certified organization :
  - (a) voluntarily request for withdrawal of certification or
  - (b) fails to abide any of the obligations as described in the clause of “Suspending of certification”
  
2. A certified organization may voluntarily withdraw its certification for its activities by providing CCSL a written notice signed by its management representative or Chief Executive. The effective date of certification withdrawal shall be specified on the written notice or, if not specified, be determined by the CCSL.  
After the withdrawal, if the organization needs to re-apply for the certification from CCSL again, at least a Stage 2 audit shall be conducted.
  
3. The management representative or the chief executive of a certified organization which has its certification suspended or withdrawn (no matter voluntarily or commanded by CCSL) shall within 14 days from the effective date of such suspension or withdrawal, inform all its customers of the activities for which the certification has been suspended or withdrawn in writing and immediately implement the actions below:
  - (a) cease using the Logo (or certification mark and accreditation symbol) in any manner whatsoever and shall cease using any other material that may imply that an Organization is certified under the Scheme.
  - (b) cease carrying on business or operating in a manner which may imply that an Organization is certified under the Scheme and cease holding out any present connection or association with CCSL.
  - (c) deliver up to CCSL or destroy in the presence of a representative of CCSL (should CCSL wish a representative to be present) the original copy of the certificate, and discontinue the use of all advertisement where CCSL certification is involved.
  - (d) notify all customers of the termination of certification where the certification is a condition of contract with a customer immediately and where business is active or likely to be active with that customer.
  
4. CCSL would take the following actions for the suspended/ withdrawn certification:
  - (a) sending a letter to the organization to remind them to stop using the certification status, logo or mark;
  - (b) arranging to obtain the original copy of the certificate or to facilitate the action as described in the above sections
  - (c) checking the information shown on website of the organization after 15 calendar days from the issuance date of the letter mentioned in above item (a), aiming to ensure the organization no longer claim the certification status to the public.