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Certification Guide

1. Introduction

Takwin (Hong Kong) Limited is a certification body based in Hong Kong delivering certification service on Quality Management System (ISO9001), Product Conformity Certification Scheme for aluminium windows (PCCS-AW) and Product Conformity Certification Scheme for frictional hinges (PCCS-FH) . The purpose of this guide is providing our clients information on our certification process.

2. Certification process

Certification process comprises Quality Management System (ISO9001) certification and Product Certification. Certification process starts from client's enquiry up to certification maintenance. Upon client's request, Takwin would prepare quotation/ contract agreement to our client, detailing the mandays required and the cost for the whole certification process.

2.1 Quality Management System certification

After acceptance of the quotation/ contract agreement by the client, assessment starts with a two stage on-site audit, namely First Stage Audit (FSA) and Certification Audit (CA).

2.2 Product certification under PCCS-AW / PCCS-FH

The client shall operate a quality management system in accordance with ISO9001. After acceptance of the quotation/ contract agreement by the client, field audits will be carried out in the office(s) and manufacturing site(s) under the scope of the certification of ISO9001 and PCCS-AW / PCCS-FH. During the field audits, products and materials will be sampled for testing under the requirements of PCCS-AW / PCCS-FH.

2.3 Decision for certification

Upon the lead auditor's recommendation for certification and Takwin decision for certification, Certificate will be issued which is valid for three years. In order to maintain certification, Surveillance Audit (SV) and Recertification Audit (REA) before certificate expiry will be arranged to monitor the continual effectiveness of the system.

2.4 Nonconformity

Throughout the whole certification process (FSA, CA, SV, REA), nonconformities and areas for improvement identified will be reported. Nonconformities identified require the organization to submit corrective action plan to Takwin for review.

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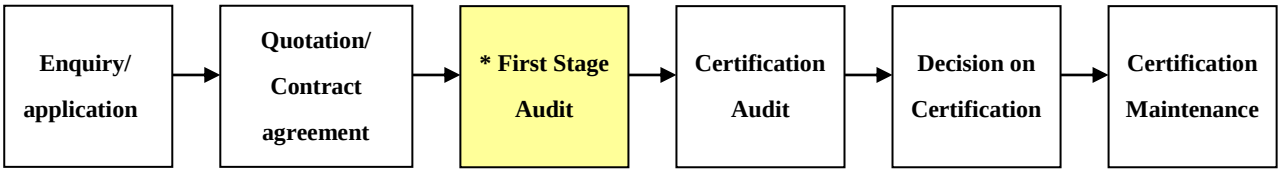
Nonconformity is graded as **Critical Nonconformity (Product Certification only)**, **Major Nonconformity** and **Minor Nonconformity**.

Critical nonconformity indicating that the extent of the system failure is considered by the audit team to require more than six months for corrections. The Applicant will be required to re-apply for Certification after a period of at least six months following the date of Certification Assessment.

Major nonconformity is the failure to fulfill one or more quality management system requirements, or a situation which would raise significant doubt as to the quality of what the organization is supplying. If there are major nonconformities identified, follow up audit is required before the organization can be certified.

Minor nonconformity is a single lapse of the quality management system requirement, or a situation considered not affecting the quality of what the organization is supplying. If there are minor nonconformities identified, corrective action plans for the nonconformities should be submitted to and accepted by Takwin, and the certificate would be issued.

Areas for improvement are findings when auditor judges by experiences and in accordance with respective management standard requirement that these are potential problem areas that might deserve more attention.



*** Not for Product Certification**

3. First Stage Audit (FSA)

The FSA is to review the system documentation such as Quality Manual and procedures, as to determine whether the documentation has been developed in accordance to the ISO9001 requirements. It is a chance to communicate with the organization to clarify some issues of certification, such as the scope coverage, whether internal audit and management review has been planned and performed. The FSA also serves to determine the organization readiness for the certification audit and planning for the certification audit. A first stage audit report would be issued to the client.

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4. Certification Audit (CA)

The objective of CA is to determine the implementation and effectiveness of management system (and the production system for Product Certification) in meeting requirements of ISO9001 (and PCCS-AW / PCCS-FH for Product Certification through further evaluation of audit samples). The audit may involve interviews with personnel, examination of documents and records, observation of daily operation to thoroughly determine the implementation of the standards' requirements. Three months of system implementation records and at least one complete internal audit and management review should be available for verification. If major nonconformity is identified, certification is not recommended and follow up visit may be required. If only minor nonconformities are identified, certification is recommended and corrective action plan is required from the organization within an agreed timeframe.

5. Issue of certificate

Upon the lead auditor's recommendation and the acceptance of the corrective action plan, the organization will be issued a certificate with three years validity based on Takwin certification decision.

For Product Certification, the test results shall also meet the standards' requirements under the PCCS-AW / PCCS-FH.

6. Certification maintenance

6.1 Surveillance

Surveillance audits will be conducted at least once a year after certification decision date (every 9 months for Product Certification). The purpose of surveillance audit is to verify that the approved quality management system continues to be implemented and to confirm continued conformity with product certification requirements. In addition, surveillance audits will review the use of Takwin certification mark, follow up of the previous nonconformities identified and review of organization customer's complaints and product failure.

6.2 Recertification audit (REA)

Recertification audit will be conducted every three years before the expiration of certification to verify the overall continuing effectiveness of your management system and conformity of products. It will review the overall effectiveness of the system, commitment to maintain the effectiveness of the system and the product compliance.

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6.3 Nonconformity

If there are major nonconformities identified, follow up audit is required before the organization can be re-certified. If there are minor nonconformities identified, corrective action plans for the nonconformities should be submitted to and accepted by Takwin, and the certificate would be renewed.

Withdrawal of Certification is recommended when a critical nonconformity, major nonconformity or a number of systematic minor nonconformities have not been rectified in the system in accordance with the relevant procedures stated in the regulations of PCCS-AW / PCCS-FH, or if the Certified Manufacturer is persistently failing to comply with its obligation under the PCCS-AW / PCCS-FH.

7. Correspondence

All our documentation would be in English.