

Toy Safety Certification Program

PROCESS GUIDE

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Chapter 1 – Introduction

This document is intended to serve as a guide for participants in the Toy Safety Certification Program[®] (TSCP) as they execute the [TSCP Program Requirements](#) document. Note that the definitions of terms contained in that document apply to this and all other program documents as well. Additional information on those functions to be carried out using the TSCP Electronic Certification System (ECS) may be found in the [TSCP ECS User Guide](#). It is the responsibility of all participants to familiarize themselves with the most current version of those documents as well as any other information or notices provided by the TSCP.

While each chapter of this document is divided into sections for specific participants, it is recommended that each participant review the other sections to become familiar with the entire process.

For purposes of this document the term “applicant” is defined as follows: The Applicant is the organization that undertakes the certification process for a given toy model is responsible for compliance with the obligations of the certification program and has exclusive rights to the branding of the product associated with the certification. “Applicants” may include manufacturers, factories, retailers, importers and other stakeholders.

Chapter 2 – Registration

All participants must register for the TSCP prior to their participation. Registration includes providing the documents as described below to the TSCP and on-line registration for a user account in the ECS.

When registered, a participating company will have an ECS user account established for a “master user”. The master user is given the ability to validate user registrations of other employees at his company site location. Upon request, the TIA ECS Administrator will designate alternate/backup master user(s) at a company site location.

Certification Body (“CB”) – In order to register with TSCP, a CB must first be accredited to ISO Guide 65 by the American National Standards Institute (ANSI) with the TSCP program-specific requirements included in the scope of accreditation. A copy of the accreditation certificate must be submitted to TIA along with a completed [Accreditation and Monitoring Agreement of Product Certification Programs](#). Upon verification of these documents, the CB will be registered in the ECS by the TIA ECS Administrator, and an initial ECS user account created.

Testing Laboratory – In order to register with TSCP, a testing laboratory must first be accredited to ISO 17025 by an accreditation organization that is a signatory to the International Laboratory Accreditation Cooperation Multilateral Agreement (ILAC MLA). In addition, the laboratory must be recognized by the United States Consumer Product Safety Commission (CPSC) under the requirements of the Consumer Product Safety Improvement Act (CPSIA). The scope of accreditation will include all applicable standards as listed in the [TSCP Program Requirements](#). Exceptions will be made for those requirements such as ASTM F963 Section 4.25 – Battery Operated toys that may only be offered at some laboratories. Under no circumstances will a TSCP participating laboratory perform tests for which they are not properly accredited for purposes of TSCP certification. A copy of the accreditation certificate must be submitted to TIA along with a completed TSCP Testing and Reporting Agreement. Upon verification of these documents, the testing laboratory will be registered in the ECS by the TIA ECS Administrator and an initial ECS user account created.

Applicant – Applicant registration is initiated by completion of the on-line form provided on the ECS. Additionally, the applicant must submit an executed [Applicant Agreement](#) form. Upon validation of the submitted information and receipt of the agreement, the master user for the applicant company will be authorized in the ECS. (The master user is given the ability to validate

registration of additional users at his company site location.)

Factory – A factory will only be allowed to register in the ECS after having been first designated (named) by an applicant on an application to certify a toy in the TSCP. When this occurs, ECS will automatically send an e-mail to the factory contact person provided by the applicant. The e-mail will contain a unique, one-time “Registration Key” and a web link to an on-line form for the factory to complete, including upload of its ISO 9001 Factory Accreditation Certificate, if it has one. After the CB reviews and validates the factory registration including assignment of Factory Tier Rating, an ECS user account will be established for the main factory contact. See **Chapter 3 - Factory Process Control Evaluation** for further details.

Chapter 3 – Factory Process Control Evaluation

Note: *This section is based on the current situation where only Tier 2 and Tier 3 factories exist. As the Tier 1 process is implemented appropriate revisions will be made.*

Applicant – The first step in completing an **Application for Certification** is for the applicant to create a Product record, containing information that clearly and uniquely identifies the product to be certified. The applicant is required to designate the test laboratory that will test the product, the factory that will produce the product, and the certification body that will oversee the process and provide final status to the application.

To avoid duplication and reduce delays it is essential that the applicant thoroughly search the list of factories already registered in the system before initiating a request for the addition of a new factory into the program. Each registered factory has a unique identification number assigned, its “TSCP Key”.

Should it be necessary to initiate a registration for a new factory, it is essential that all of the requested information for a factory contact is completed in full. The applicant shall also ensure that the factory contact has been informed of the process and what is expected of him so that he is ready to follow through with the necessary registration steps from his side.

Product certification cannot be completed until the factory process control information has been reviewed by the CB, and the Factory Tier Rating assigned.

The Factory Tier rating criteria are as follows:

FACTORY TIER RATING	DEFINITION
TIER 1	A factory that satisfies toy specific process control audit requirements in addition to ISO 9001. *
TIER 2	A factory that has demonstrated an effective process control system through an ISO 9001 certification with a scope appropriate to the product(s) being certified.
PROVISIONAL	A factory having a current ISO 9001 certificate with proper scope that is still being verified by the CB. This will be treated as a Tier 2 factory for a period of up to 90 days while verification takes place.

TIER 3	A factory that lacks an ISO 9001 certificate or a factory having a valid ISO 9001 certificate but also has an unsatisfactory performance record in the TSCP program that has resulted in their assignment to Tier 3.
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* Toy specific process control audit requirements will be developed and added to the TSCP in the near future.

Factory – The designated factory contact will receive an e-mail notification when named for the first time as the producing factory on an Application for Certification. The e-mail contains a unique Registration Key and web link to the on-line factory registration form. The factory must indicate whether or not they have a valid ISO 9001 Accreditation Certificate, and if so, will upload a digital image of the certificate. After review and validation by the CB named on the same application, the factory contact will receive an ECS User ID and password. The factory will now have access to perform product confirmation on ECS as described in Chapter 4.

Certification Body – The CB will be notified through the ECS when a new factory for which they have review responsibility has submitted a registration request on-line. The CB designated on the first application for certification naming that factory will have initial review responsibility. The registration information shall be reviewed for completeness. If the factory has not indicated they have an ISO 9001 Accreditation Certificate, the factory is assigned Tier 3. For a factory that does claim ISO 9001 accreditation, the CB will review the certificate provided by the factory and will obtain supporting factory audit documentation as may be needed for his review. The accreditation of the registrar must be verified with the accreditor, most often this can be done through the accreditor’s website. The accreditor must be listed on the IAF website as a signatory as well. The scope of the certificate must be consistent with the product being certified. The scope statement must include the word “toy” and descriptive language which would include the type of toy being certified. Any doubts regarding the scope of certification may be clarified during communication with the registrar.

If the basic requirements for the ISO 9001 certificate are met, the factory will be assigned a rating of “Provisional”. A factory rated as Provisional may remain in that status for 90 days. During that time the factory will be treated as if it had received a Tier 2 rating. The party named on the certificate (typically the factory) must be contacted to execute the release of information to be provided to the registrar. The release must accompany the request to the registrar for copies of audits, non-conformances, corrective actions, etc. All copies of these documents must be received directly from the registrar by the CB and not from the factory or

applicant. These documents may either be in English or the local language based on the factory location.

Using these documents the CB must verify the following:

- The requirements for on-going surveillance have been satisfied;
- All non-conformances have been closed as in the time period indicated in the documents;
- Earlier corrective actions have been verified during subsequent surveillance;
- The report demonstrates compliance with ISO 17021.

The factory shall pay any charges for this activity directly to the CB due to the fact that multiple applicants may utilize a single factory.

An archive file (in ZIP file format) containing all documents reviewed during the verification process must be uploaded to the ECS by the CB.

Any questions or clarifications are to be directed to the registrar and resolved prior to rating the factory. Should this process not be completed within 90 days or the audit reports and documents not be satisfactory, the Provisional rating will be changed to Tier 3 until such time as the deficiencies are corrected.

Upon validation that the requirements listed above have been satisfied, the factory will be assigned a Tier 2 rating. The date of the next review will be set based on the surveillance schedule or expiration date of the ISO 9001 certificate, whichever comes first.

Should the CB cease to have any TSCP product in a factory for which they have been assigned review responsibility, they will transfer that responsibility to a different CB through the ECS platform. Should the factory no longer have any active certifications when the review date occurs, the factory status will be set to inactive.

Chapter 4 – Product Certification

Applicant

Application for Certification

After completion of the registration process, the applicant may apply to have a toy certified under TSCP. The certification process begins with the completion of the **Application for Certification** in the ECS. Required information includes the identification and description of the toy for which certification is requested, designation of the factory used for production, the testing laboratory, and CB. Note that a separate TSCP certification is required for each factory in which final assembly of the product occurs.

The factory may be selected from those who have already been registered or a new factory may be nominated for registration. The testing laboratory and CB must be selected from those who have registered to participate in the TSCP. To minimize potential delays, applicants are encouraged to verify that their chosen testing laboratory and CB are registered for participation with the TSCP in advance of their planned submission of an application. The application may remain in draft status until the applicant completes all necessary information and they are ready to proceed with the certification process. No third party will have access to the application while it remains in draft status. When the application is completed and the applicant is ready to proceed, payment must be completed using the ECS electronic payment functionality. The application fee provides for participation in the program and ECS. Charges by participating third parties for services rendered are not set by TSCP and will be based on services performed. The TSCP collects no funds from third parties or retailers.

Following payment processing, the specified factory will be requested to register, if not already registered, and confirm production of the toy named in the application.

Attestation of Hazard and/or Risk Assessment

The applicant must download and complete the [Hazard Analysis and/or Risk Assessment Attestation](#) form from the ECS. This may be done at the time of application or later. The form must be completed in its entirety and signed by the responsible senior company official. The form must clearly identify the product(s) to which the attestation applies and the references and tools used. This list may include **ISO/IEC Guide 50 and/or 51, Handbook for Manufacturing Safer Consumer Products** (U.S. Consumer Product Safety Commission, July 2006),

Risk assessment Guidelines for non-food Consumer Products from the European Commission, or other similar standards. Upon completion the form will be uploaded and stored in the ECS.

Test Sample Selection

The applicant must make arrangements for test samples to be selected from the initial production.

Random sample selection will be conducted as follows:

- Tier 3 Factories – The organization conducting sample selection must be accredited to ISO/IEC 17020, ISO/IEC 17025, ISO/IEC 17021, and/or ISO/IEC Guide 65 by an accreditation organization that is a signatory to the ILAC MRA and/or the IAF MLA as appropriate. The organization conducting the sample selection **does not** need to be registered as a TSCP participant. The eligibility of any third party not registered with the TSCP as a participant should be verified with the selected CB prior to sample selection.
- Tier 2 or Provisional Factories - Using the message capability of the ECS, the applicant must advise the CB at least 48 hours in advance when samples will be taken. On a random unannounced basis, the CB (or their designee) will visit the factory and collect the samples. If the CB (or their designee) does not arrive to collect samples during the designated time period, the applicant shall have samples collected and submitted to the laboratory. These random sample selections by the CB (or their designee) will occur four to six times per year per applicant. At a minimum, each factory must be visited two times per year.
- Tier 1 Factories – A procedure for sample selection in accordance with TSCP guidelines must be documented and will be audited as part of the TSCP Quality Management System Best Practices for factories in conjunction with the ISO 9001 audit. Or, at the applicant's discretion, either the procedure described above under Tier 3 or Tier 2 may be used.

The applicant must provide the party conducting sample selection with a copy of the [Sample Advice Form](#). The form must be completed and signed by the party that selects the samples and sealed inside the carton(s) containing the samples.

The following guidelines are used to determine the number of samples to be submitted for testing.

- Toys intended for use by children under three years old, use 18 samples

randomly selected from all batches or production dates in inventory awaiting shipment (“under-age-3” items have more tests specified in ASTM F963 than “over-age-3” items).

- Toys intended for use by children older than three years old, use 12 samples randomly selected from different batches or production dates held in inventory at the factory awaiting shipment.

- Exception to above sample sizes: for items which have a projected base area of less than 400 square inches and/or a volume of less than three cubic feet and/or a weight of greater than 50 lbs. and/or a retail price greater than US\$100, use a sample size of three pieces, and perform as many tests as possible on each unit, but ensuring that all applicable tests are conducted at least once. All of the parameters listed in this section are to be measured in the as-shipped state.

- When production size is limited (less than 1,000 units a year), the applicant and CB shall reach an agreement on the appropriate sample size for production testing.

Should multiple SKU’s contain common components, a minimum of one sample of each SKU must be submitted with the total number of samples of each component meeting the minimum sample size requirement indicated above. A common example of this is when the same toy is sold to multiple retailers in different packaging. Only one complete sample in each package is required with the total number of samples meeting the requirements above.

Note that component in this context refers to a distinct element of the product being certified. One example would be a doll’s dress. Other examples include identical wheels used on more than one vehicle or identical torsos used in many dolls. This requirement may be further revised as the CPSC issues additional guidance. To minimize delays the applicant should contact the testing laboratory and/or CB with any questions regarding the sample size prior to sample selection.

The cartons containing the required number of samples must be sealed by the party performing sample selection in a way that any adulteration of the carton will be obvious to the laboratory receiving the samples. The use of tape with identifying marks and/or logos is the preferred method of sealing cartons.

Non-conformances and Issues

Throughout the certification process, the applicant should frequently check the status of the application using the ECS. Non-conformances (**N/C**) will be opened by the CB in the event any of the samples provided are found in testing not to comply with any of the applicable product standards. **Issues** are opened when

there are problems with any other element of the application. All **N/Cs** and **Issues** require prompt response from the applicant and must be closed before the product can be certified. A corrective action plan (CAP) must be submitted using the ECS in response to an **N/C**. The CAP must include detailed information on the quantity of product affected by the **N/C**, how this quantity will be corrected and/or disposed of, and the changes to the design, materials, and/or production processes that will be undertaken to prevent recurrence. The CAP must be reviewed by the CB prior to implementation. The CB will also specify what action will be required to verify the completion of the corrective action plan. These actions may include submission of documentation, testing of additional samples, and/or on site visits to the factory. The **N/C** will be closed by the CB following verification. The CB closes **Issues** after a satisfactory response is received from the assigned party. All **N/C** and **Issues** must be closed prior to certification.

The applicant may choose to cancel the application at any time, however, the application fee is non-refundable and all information regarding the application including test reports will be retained. In the event production has commenced the applicant must provide supporting evidence that indicates the TSCP seal and certification number will not appear on the product should production continue. In the event an **N/C** has been opened the applicant must report the steps taken to prevent the **N/C** product from entering commerce. A registered applicant or factory who allows non-compliant product to enter commerce designated as TSCP certified is subject to program sanctions including the withdrawal of certification from all other products manufactured for the applicant or in the factory.

Should the applicant not respond to the CB in the event of **N/C** and/or **Issues** in a timely manner, the CB may reject the application. Initial responses are expected within seven days and subsequent communication must be maintained as agreed.

The applicant will be advised through the ECS when certification has been granted. The certification will be effective immediately and may be verified by regulators and designated retailers through the ECS. The certification will remain active as long as continuing requirements are met as outlined in the following chapter.

Factory

The factory named on the application will be requested to confirm the production of the SKU. In the case of a factory not yet registered in the ECS, the request will come only after registration is completed as outlined above. The factory will

receive the request through e-mail and must respond by clicking the appropriate web link. Detailed instructions may be found in the [TSCP ECS User Guide](#).

Testing Laboratory

Testing laboratories may monitor upcoming testing through the ECS. This feature is designed to help the laboratory anticipate volume.

Upon arrival, the testing laboratory must carefully examine the cartons for any evidence that the original sealing has been tampered with or that the carton integrity has been compromised in any way. If any such evidence is found it shall be completely documented by photographs and all packaging retained in an “as-is” condition until resolution. The testing laboratory shall immediately open an **Issue** using the ECS for applicant response with the photographs attached.

If no evidence of tampering is found, the carton shall be opened to verify the contents. The Sample Advice Form shall be checked for completeness and the number of samples verified against the quantity listed on the SA. If the Sample Advice Form is incomplete or if less than the number of samples outlined in the Applicant section above are found, an **Issue** shall be immediately opened by the laboratory for applicant response.

Photographs of the product must be taken that show a clear view of the packaging and the product. Prior to performing any testing, the product must be completely evaluated to determine the appropriate age grade. This assessment shall be based, at a minimum, on CPSC’s Age Determination Guidelines, the Age Determination Guidelines in CPSIA and ASTM F963 Annex A1. Where the testing laboratory assessment of appropriate age and the product’s labeled age differ, testing to the most stringent requirements will be performed. The testing laboratory shall notify the applicant should there be any discrepancy between the appropriate age and the labeled age. If the applicant desires more stringent requirements than either the appropriate age or the labeled age, the applicant’s age requirements will govern.

After the age grade to be used for testing has been determined, the laboratory will divide the samples evenly among the appropriate physical tests to be performed.

Composite testing as permitted by CPSC guidelines shall be used.

A comprehensive test report must be provided which includes the following:

- All information required by CPSIA Section 102 for General Certificates of Conformity;
- Picture of finished product as well as its final packaging;
- Actual production factory address;
- Name and company of person selecting the test samples (a copy of the Sample Advice Form shall be attached);
- Date the test samples were selected;
- Date code and other tracking label information on product;
- List of all TSCP tests, with results reported as Pass, Fail, or N/A;
- Details of each test, including sample size, test criteria, and test result, shall be included upon request of applicant or TSCP CB;
- Labeling and/or warning requirements;
- Appropriate age, labeled age, and tested age as applicable;
- Additional tests such as California Proposition 65 Safe Drinking Water and Toxic Enforcement Act of 1986 or specific retailer requirements may be included at the request of the applicant.

The testing results above must be entered into the ECS by the testing laboratory. There are several options for data input which are described in the [TSCP ECS User Guide](#).

Certification Body

The CB will be advised through the ECS when the application is submitted and as the participating parties provide the required elements. The CB may review the elements as they become available.

Attestation of Hazard and/or Risk Assessment

The CB will review the uploaded attestation of Hazard Analysis and/or Risk Assessment to ensure it satisfies all the requirements outlined for the applicant in the previous chapter.

Factory Process Control Rating

For factories submitting ISO 9001 certification, the CB will review the scope of the ISO 9001 certification on file to assure the product is within scope. Any doubt regarding the scope must be verified with the ISO 9001 registrar and, if necessary, a scope extension obtained.

Testing

The CB will review the submitted test results using the ECS to verify:

- Product description and photographs appear to match the description and identification of the product provided by the applicant.
- Based on the product description and photographs:
 - o Age grade to which the product was tested was at least as stringent as appropriate for the product;
 - o Appropriate tests were performed;

This is not to duplicate the age grade and test requirement determination made by the testing laboratory, but rather to identify any apparent inconsistencies so they can be resolved prior to certification.

- If any apparent inconsistencies be noted, the CB will communicate with the laboratory using the ECS, as described below, to clarify.
- Appropriate number of samples were tested based on the criteria specified above under **Testing Laboratory**.
- If the testing laboratory report that any of the samples provided did not comply with any of the applicable standards, the CB must open a **N/C**. An **Issue** will be opened when there are problems with any other element of the test report or when clarification by the laboratory and/or applicant is required.

Non-conformances and Corrective Actions

All **N/Cs** and **Issues** require prompt response from the applicant and must be resolved before the product can be certified. Detailed instructions may be found in the [TSCP ECS User Guide](#).

A corrective action plan (**CAP**) must be submitted using the ECS in response to a **N/C**. The CAP must include detailed information on the quantity of product affected by the **N/C**, how this quantity will be corrected and/or disposed of, and the changes to the design, materials, and/or production processes that will be undertaken to prevent recurrence. The CB will review the CAP to assure completeness and consistency with the failure reported prior to implementation. The CB will also specify what action will be required to verify completion of the corrective action plan. These actions may include submission of documentation,

testing of additional samples, and/or on site visits to factory. The **N/C** will be closed by the CB following verification.

Issues will be closed by the CB after a satisfactory response is received from the applicant. All **N/C** and **Issues** must be closed prior to certification.

The CB will assure that the action dates provided by the applicant are reasonable based on the nature of the **N/C** or **Issue** and that regular communication is maintained. Initial responses from the applicant shall be received in seven (7) days. If, after repeated attempts at resolution, the applicant does not provide an acceptable CAP or response to an **Issue**, the CB may reject the application. Failure to meet committed action dates may also result in rejection of the application.

Chapter 5 – Certification Maintenance

A SKU will remain in a certified status as long as the applicant continues to meet program administrative requirements and the product itself continues to comply with program technical requirements and federal regulations. While the ECS will provide assistance in continuing compliance, the responsibility ultimately rests with the applicant. Under no circumstances may an applicant knowingly produce and/or ship a certified SKU while not in compliance with program or technical requirements. A continuing failure to comply shall result in Suspension or Withdrawal of the certification.

Applicant

On-Going Testing

An applicant producing in a Tier 3 factory must report the quantity of each certified SKU produced on a regular basis. These reports are due each month for production in the preceding month. If the production quantity for a SKU is not reported by the end of the succeeding month, the applicant and CB will be alerted through ECS to resolve the **Issue**. Applicants producing in Tier 1 and Tier 2 factories may choose to use the system for production tracking as well. The applicant must make arrangements for samples to be selected and submitted for testing at the following intervals according to Factory Tier Rating:

FACTORY TIER RATING	FREQUENCY
TIER 1	Minimum testing frequency: annually or every million units, whichever occurs first. Additional heavy metals testing at least once per year unless additional complete tests are required based on quantity. The maximum testing frequency will be quarterly.
TIER 2	Minimum testing frequency: semiannually or every 500,000 units, whichever occurs first. The maximum testing frequency will be monthly.
TIER 3	Minimum testing frequency: quarterly or every 150,000 units, whichever occurs first. The maximum testing frequency will be every other week.

The applicant will receive a courtesy reminder through the ECS either 30 days prior to the date due or when the reported quantity produced exceeds 80 percent of the specified quantity. If the date due or when the production quantity surpasses the quantities specified above, the applicant and CB will be alerted

through the ECS to resolve the **Issue**. The applicant may use any TSCP registered testing laboratory for each on-going test.

If no production is on-going or available in inventory at the factory when testing is due, the CB may extend the date due by up to 30 days for a Tier 3 factory and up to 90 days for a Tier 2 factory upon confirmation that production is scheduled within that time period. If no production is scheduled within that time period, the SKU will be shown as having been certified for production dates between the date of first production and the date the testing was originally due based on Tier rating.

Procedures for sample selection are identical to those outlined in the Product Certification section above. An **N/C** will be opened in the event any of the samples provided are found in testing not to comply with any of the applicable product standards. Under no circumstances shall the applicant allow non-conforming product to ship after notification of the **N/C**. The CAP process will be followed as described in the Product Certification section above. The CAP must include measures for dealing with not only subsequent production but earlier production suspected to have the same non-compliance. An acceptable CAP must include evidence that retailers, regulators, and consumers have been notified as appropriate. In the case of currently certified product, the corrective action plan must be submitted and approved within ten days of **N/C** issuance. Failure to comply with corrective action procedures will result in suspension or withdrawal of the certification.

Changes in Factory Status

In cases where the factory rating is changed by the CB, the testing due date will be changed to the appropriate time based on the previous testing date. Should this change result in testing being due immediately, the due date will be set for 30 days from the current date. Notifications will be made as specified above under **On-Going Testing**.

Changes to Existing Requirements

Changes in product requirements may be dictated by legislation, CPSC, and/or the ASTM F-963 standard. The TSCP Technical Committee will confirm the effective date of these new requirements. Any product previously tested to a standard which is changed will have the testing due date revised to the effective date of the new standard unless testing is due sooner. Notifications will be made as specified above under **On-Going Testing**.

New Requirements

New product requirements may be dictated by legislation, CPSC, ASTM F-963, and/or TSCP. The TSCP Technical Committee will confirm the effective date of these new requirements. It is the responsibility of the applicant to understand these requirements and have testing performed on certified product to which they apply prior to the effective date of the new requirements. Product submitted for testing within 90 days preceding the effective date will be evaluated and tested to the new requirements unless the applicant specifically requests they not be conducted.

Certification Renewal

The applicant must annually submit an application for renewal of certification using the ECS including payment of the application fee. The applicant may choose to change the CB at the time of renewal if the product remains in Certified status. If renewal is not completed by the anniversary date, the applicant and the CB will be notified through ECS to resolve the **Issue**. The applicant may deactivate certification when the SKU is no longer in production. The ECS will continue to show that product produced prior to deactivation as having been certified. The CB will show certification status as inactive if renewal is not completed within 30 days of the anniversary date. The anniversary date will remain the same month and day in subsequent years regardless of when the renewal is processed.

Certification Body Departure from Program

If a CB ceases to participate in the program, participants with certifications through that body will be allowed to specify a different CB for all of their SKUs in Certified status at the time of the change.

Testing Laboratory Loss of CPSC Accreditation

If a testing laboratory loses CPSC Accreditation, any test reports dated after the date accreditation is lost will be invalid for purposes of TSCP. Notifications will be made as specified above under **On-Going Testing**.

Certification Body

On-Going Testing

If the test report is not entered by the date due or when the production quantity surpasses the quantities indicated in the table above, the applicant and CB will be alerted through the ECS to resolve the Issue.

If no production is on-going or available in inventory at the factory when testing is due, the CB may extend the date due by up to 30 days for a Tier 3 factory and up to 90 days for a Tier 2 factory upon confirmation that production is scheduled within that time period. If no production is scheduled within that time period, the SKU will be shown as having been certified for production dates between the date of first production and the date the testing was originally due based on Tier rating.

The CB must open an **N/C** in the event any of the samples provided are found in testing not to comply with any of the applicable product standards. The CB will review the CAP to assure completeness and consistency with the failure reported and approve the CAP prior to implementation. The CB will also specify what action will be required to verify the completion of the corrective action plan. These actions may include submission of documentation, testing of additional samples, and/or on site visits to factory.

The CAP must include measures for dealing with, not only subsequent production, but, earlier production suspected to have the same non-compliance. An acceptable CAP must include evidence that retailers, regulators, and consumers have been notified as appropriate. Initial responses from the applicant shall be received in seven days. In the case of an on-going testing failure, the corrective action plan must be submitted and approved within ten days of **N/C** issuance. Failure of an applicant to respond in a timely manner will result in the certification being suspended. If, after repeated attempts at resolution, the applicant does not provide an acceptable CAP, the CB will withdraw certification. The CB will assure that the action dates provided by the applicant are reasonable based on the nature of the **N/C** and that regular communication is maintained. Failure to meet committed action dates will result in suspension and potential withdrawal of the certification. Following verification, the **N/C** will be closed by the CB.

Changes to Existing Requirements

Any product requiring retest due to a requirement change, as described in the **Applicant** section earlier in this chapter, will have the testing due date revised to the effective date of the new standard, unless testing is due sooner. Notifications will be made as specified above under **On-Going Testing**. If the current test report on file demonstrates compliance with a new requirement (for example a lowered lead limit), upon review the CB may restore the due date.

New Requirements

New requirements are to be implemented as described in the ***Applicant*** section earlier in this chapter.

Certification Renewal

The Certification Renewal process is as described in the ***Applicant*** section earlier in this chapter.

Certification Body Departure from Program

When a CB ceases participation in the TSCP, they are expected to provide notice to their clients and cooperate fully in the transition to a new CB of the applicant's choice.

Factory Process Control Evaluation

Note: This section is based on the current situation where only Tier 2 and Tier 3 factories exist. As the Tier 1 process is implemented, appropriate revisions will subsequently be made.

The CB responsible for the process control evaluation of a factory will review the surveillance and corrective action reports as received from the management system registrar. The CB will verify:

- The requirements for on-going surveillance have been satisfied;
- All non-conformances have been closed as in the time period indicated in the documents and as specified in IAF guidelines;
- Earlier corrective actions have been verified during subsequent surveillance.

In addition, using the ECS, the CB will review a summary of any non-conformances and corrective actions for those attributed to potential process control **Issues**. If the reports submitted by the registrar fail to indicate continuing compliance with the ISO 9001 process or multiple product non-conformances attributable to process control **Issues** are found, the CB will contact the management system registrar and the factory to request a corrective action plan be implemented immediately and verified by the registrar. If the review of the reports indicates continuing compliance, the CB will revise the due date based on the surveillance schedule or the expiration date of the certificate, whichever comes first.

The CB will advise all applicants with certified product in that factory that a corrective action is pending and, if not resolved, will result in a change of Tier level after 30 days. If the corrective action cannot be satisfactorily closed after 30 days, the factory rating will be changed to Tier 3. If the surveillance and/or corrective actions are not received prior to the review date, the CB will contact the registrar and open an **Issue** for the factory. If the reports are not received within 30 days of the date due, the factory rating will be changed to Tier 3.

A factory may demonstrate a return to ISO 9001 compliance and be returned to Tier 2 status after 90 days have elapsed from the downgrade.

Chapter 6 – Additional Information

Additional program documents and information are available at <http://www.toycertification.org>. This TSCP Process Guide will be revised in conjunction with revisions to the underlying documents or as the need for additional clarification is identified. The TSCP Process Guide is intended to serve only as a guide to those documents referenced herein. It is the responsibility of all participants to familiarize themselves with the most current version of program documents as well as any other information or notices provided by the TSCP. In all cases the agreements executed by the program participants govern their participation in the program.