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HONG KONG *Safety* **MARK**

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HONG KONG
S SAFETY
M MARK
CERTIFICATION SCHEME

DRAFT

Luminaires

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DRAFT

1. Introduction

The Hong Kong Safety Mark Scheme is an independent certification program for product safety in Hong Kong.

This document aims to introduce certification requirements of the Hong Kong Safety Mark (HKSM) Scheme on Luminaires.

This Scheme has referenced ISO/IEC17067:2013 and Electrical Products (Safety) Regulation (EPSR) made under the Electrical Ordinance (Cap.406) of HKSAR.

This Scheme does not address the requirements of Electro-magnetic Compatibility (EMC). A separate certification program is available for EMC where applicable.

2. Scope

HKSM scheme accepts application from and is accessible to all applicants including manufacturers, importers, distributors and retailers, so long as the application falls within the scope of the scheme, which includes, but is not limited to, the following:

- Luminaires, Fixed, General Purpose Luminaires
- Recessed Luminaires
- Portable General Purpose Luminaires
- Luminaires with built-in transformers for filament lamps
- Portable Luminaires for Garden Use
- Luminaires for Emergency
- Self-Ballasted Lamps

3. Certification Mode

The scheme adopts a “product-oriented” certification program. Applied products will be sent to be product type test to relevant testing standards. After complying with test requirements, HKCC will perform production site assessment. The aim of factory assessment is to ensure

factory has a quality system able to manufacture the certified product steadily and production system complies with requirements.

Hong Kong Safety Mark will be granted to approve product and HKSM license issued to relevant Subscriber after satisfactory results from type test and factory assessment are obtained.

Approved products and factories shall also be monitored by continual surveillance program, which it generally includes routine inspection visit at factory and type test program. The mode of certification is shown below:

Certification Mode
(ISO/IEC17067:2013 – Type 5)

Product Type Test + Initial Factory Evaluation + Continual Surveillance

4. Certification – Pre-license Stage

4.1. Application to Hong Kong Certification Centre

The Subscriber submits completed HKSM application form (F/001) together with following information to Hong Kong Certification Centre:

- A copy of Business Registration Certificate ;
- Photos/catalogues/pamphlets of the product(s) ;
- Product specification;
- Bill of Materials;
- Circuit Diagram;
- Assembly or Engineering drawing (if necessary);
- User/Instruction manual.

4.2. Product Type Test

4.2.1. Classification of Certification Product

(a) **Individual model:** Applicants shall arrange to send applied samples to HKCC. Type test

will be conducted for submitted individual samples.

- (b) **Models in series:** If Subscriber has more than one model for application, and such models have similar structures, functions or components, the representative samples from all applying models shall be selected for type test. The other models will be selected for conducting the additional test or verification in respect of the differences.

4.2.2. Sample preparation

Subscribers should submit samples to HKCC. The quantity of samples shall be according to requirement of Appendix 2. All submitted samples must be completed and good functional, and all critical components of applied product shall comply with the relevant requirement mentioned in Appendix 3.

4.2.3. Applicable Testing Standards

The testing standards for certification are specified in Appendix 2. The applicable versions of the test standards shall refer to Appendix 5. Type tests will be conducted according to the applicable standards and versions to ascertain that the products seeking Hong Kong Safety Mark are in compliance with the rules and regulations of the scheme. HKCC will also consider to accept, entirely at its own discretion, test reports which are issued prior to the application for Hong Kong Safety Mark as fully or partly satisfying the type test requirements.

4.3. Initial Factory Evaluation

4.3.1. Factory Inspection – Quality Assurance Ability Inspection

Factory inspection is to ensure Subscriber of certified product has an ability to produce such product and to ensure production conditions are complying with the relevant international requirements, including it has enough facilities, equipment and technique. The regulations of HKSM scheme shall also be introduced to Manufacturer, which basically include:

- Factory situation complies with information stated in Factory Questionnaire, which is reported to HKCC upon application being made;
- Hong Kong Safety Mark is granted only to products certified by HKCC;
- The terms of Hong Kong Safety regulations are met when the Hong Kong Safety Mark is applied for;

- Current Hong Kong Safety Marked production complies with appropriate requirements;
- The required Factory Tests are conducted according to relevant certification report. Test Records are also maintained;
- The factory test equipment is properly maintained and calibrated;
- The records of customer complaints handling, follow-up action and usage of Safety Mark are maintained.

The requirements of factory inspection shall be referred to in the Appendix 4

4.3.2. Product Consistency Check

If any certified product is available in production line or warehouse, inspector shall select sample for the related critical component checking against the description of Certification report. Any difference between inspected sample(s) and description of HKCC certification report should be recorded in Factory Inspection Report.

Also, the certified product should be checked for the workmanship on safety basis, including the soldering, welding, torque test for earthing screw, wiring connection, etc.

Inspector shall require Subscriber's manufacturing facilities to conduct factory tests for the selected sample. The specification of tests to certified product should refer to Certification Report's requirements.

The following marking must be indicated on the HKSM certified product, except the description on the relevant Certification Report:

- (i) Subscriber identification (Subscriber's name, trademark and / or HKCC license number, adjacent to Hong Kong Safety Mark) and Hong Kong Safety Mark logo.
- (ii) Model designation or equivalent.
- (iii) Complete electrical rating of the product (including supply voltage, frequency, and power consumption.)
- (iv) Serial number or date code traceable to month and year of manufacture.
- (v) Instruction manual – all markings or label containing warning or caution words or phrases given in respect of the safe keeping, use consumption or disposal of the good will have to appear in both English and Chinese.

- (vi) Identification mark – Neutral symbol “N” and Earth symbol must be marked on the suitable place on the certified product, such as terminal block and connector, etc. (except type Z attachment)

4.4. Overall Review

Overall assessment review will be performed by HKCC after completion of product type test and factory inspection. During the review, the following reports/records will be taken into consideration:

- Information stated in the Application Form
- Type test result
- Result of factory inspection
- Other submitted information/reports/ records for corrective actions found in certification process.

Nonconformities, whenever identified during evaluation and review, can be classified as “Minor Nonconformity” or “Major Nonconformity”:

(1) Minor Nonconformity

- i. Failure to conform to a requirement which based on judgment and experience is not likely to result in system failure;
- ii. Potential risk of nonconforming product or service.

(2) Major Non-conformity

- iii. Total breakdown of system, control, procedure or product safety;
- iv. A number of minor nonconformities related to the same clause / area;
- v. A nonconformity that would result in probable shipment of nonconformity or un-inspected product;
- vi. A condition that may result in the failure or materially reduce the usability of product for intended purpose;
- vii. A nonconformity that experience and judgment indicate will likely result in management system failure or materially reduce its ability to assure controlled processes and products.

4.5. Issue of Hong Kong Safety Mark License

Hong Kong Safety Mark License could be granted to Subscribers if the conditions (1), (2) and (3) described below are all satisfied after overall review. Subscribers are permitted to label

HKSM onto certified products:

- (1) Type test results show that the product can fully meet the respectively product safety and/or performance standards;

AND

- (2) During Initial Factory Evaluation:

- a. No nonconformity is identified; or
- b. Minor nonconformities are found but it does not cumulatively indicate a major failure of the management system and product quality. The Subscriber shall provide a corrective action plan which is acceptable to HKCC to rectify the nonconformities. HKSM certification will be recommended and the effectiveness of corrective actions will be verified during the next surveillance, or
- c. A Major nonconformity or a number of minor nonconformities is found which accumulate to indicate a major failure of the management system and product quality. The Subscriber shall provide a corrective action plan which is acceptable to HKCC to rectify the nonconformities. HKCC will carry out a follow-up confirming that the nonconformities are satisfactorily resolved before the HKSM certification is recommended;

AND

- (3) All other certification requirements related to HKSM, including the provisions specified in "HKCC Regulations for Product Certification", are fulfilled.

The license includes the following information:

- Name and address of HKCC;
- License number;
- Date of issue;
- Information about Subscriber;
- A statement to certify that the products listed in the license are eligible to bear the Hong Kong Safety Mark;
- Product information, e.g. product type, product description, brand, model number;
- Applicable standard(s) / requirements;
- Expiry date of certification;
- Signature and title of authorized signatory of HKCC.

4.6. Continual Surveillance

4.6.1. Routine Inspection Visit (RIV)

Routine Factory Inspection is conducted on Subscriber's manufacturing facilities once per year by HKCC or appointed inspection party. The requirements of factory inspection shall refer to Appendix 4 and section 4.3.2 Product Consistency Check.

4.6.2. Conclusions from RIV

4.6.2.1. Certification will be continued if during RIV:

- a. No nonconformity is identified; or
- b. Minor nonconformities are found but it does not cumulatively indicate a major failure of the management system and product quality. The Subscriber shall provide a corrective action plan which is acceptable to HKCC to rectify the nonconformities. Certification continues to be valid and the effectiveness of corrective actions will be verified during the next surveillance, or
- c. A Major nonconformity or a number of minor nonconformities is found which accumulate to indicate a major failure of the management system and product quality. The Subscriber shall provide a corrective action plan which is acceptable to HKCC to rectify the nonconformities. HKCC will carry out a follow-up confirming that the nonconformities are satisfactorily resolved before the HKSM certification is continued.

4.6.2.2. Certification will be suspended if during RIV:

- a. Significant deviation of products from the requirements specified in HKSM Scheme is found; or
- b. absence of, or failure to implement and maintain, a series of required management system elements; or
- c. major nonconformities, or a number of systematic minor nonconformities are found that have not been rectified in accordance with the relevant procedures and to the satisfaction of HKCC; or
- d. Subscriber is found persistently failing to comply with its obligation under the HKSM Scheme.

5. Product Modification

The Subscriber should inform HKCC of any intended modification on any Certified Product. Whenever Subscriber requests to modify a Certified Product, Subscriber should submit a “Modification Request”, which is obtainable from HKCC.

HKCC will evaluate the submitted information from the Subscriber and to make sure that the following information is clearly stated in the form and / or other records submitted:

- Relevant License Number;
- Proposed type / model of product to be modified;
- Reason(s) for modification;
- Proposed effective date of modification;
- Modification details, which include, but are not limited to, the following:
 - Parts list;
 - Electrical drawings;
 - Mechanical drawings;
 - Assembly drawings;
 - User manual / Instructions

During the course of application review, HKCC will determine whether sample testing on the modified product is required. If the modification is related to critical item(s) as listed in the Certification Report of the concerned product, the modified product should undergo the sample testing process.

6. Product Scope Extension

Subscriber should apply to HKCC for amendment about certification. HKCC will check whether the submitted application can be processed by reviewing various relevant aspects. If the application cannot be further processed after the review, the Subscriber will be informed. If the application can be processed, HKCC will inform the Subscriber in writing. In addition, the Subscriber will be advised of the detailed certification and surveillance plan for the product and the fees schedule for different stages.

“Endorsement” will be prepared and issued by the HKCC to the Subscriber for the additional types or models of the products.

Whenever the amendment involves an additional factory to produce the same or different types or models of products, it comes to the conclusion that a full assessment procedure should be followed. That is, assessment starting from sample testing, and then submitting factory questionnaire, and finally, factory inspection.

Another new Hong Kong Safety Mark License will be issued upon complete fulfillment of the assessment requirements for certification. A new License Number will be assigned accordingly.

Details of the certification and surveillance plan for the amendment and the fees schedule for the assessment incurred should be clearly stated in the Certification Proposal after a conclusion has been made. The Subscriber will be informed of the detailed plan in a Certification Proposal.

7. Certification Suspension/ Cancellation

The situations in which suspension may be initiated shall include, but not be limited to, the following:

- (a) Voluntary suspension is self-initiated by the Subscriber and is non-disciplinary in nature. The Subscriber may, by written notice, voluntarily suspend its certification for any or all of the products for which it holds certification.
- (b) Delay of payment: When any payment becomes overdue by 2 months, HKCC may send a letter to the Subscriber warning of the possibility of suspension of certification.
- (c) Delay of Routine Inspection Visit (RIV) : When the scheduled RIV has been overdue by 3 months, the HKCC will send a letter to the Subscriber warning of the possibility of suspension of certification.
- (d) Other Matters
 - The surveillance shows non-compliance with the Requirements of a serious nature but immediate withdrawal is not necessary;
 - Serious customer complaints;
 - Breach of the **HKCC Regulations for Product Certification** or any other contravention of the rules of the Scheme or the procedures of HKCC;
 - Misuse of the Mark or the License, e.g. misleading prints or advertisement not solved by

suitable retraction or appropriate remedial measures by the Subscriber;

- Reported incidence from the public.

The Suspension can only last for a maximum of 2 years, or the period specified in the Suspended Notification Letter.

The Subscriber can initiate resumption of certification by a written request to HKCC within the allowable suspension period specified in the Suspension Notification Letter. After the receipt of the Subscriber's request, HKCC will evaluate whether the Subscriber has fulfilled the resumption conditions as indicated in the Suspension Notification Letter.

The circumstances in which cancellation of certification will be initiated include, but are not limited to, the following:

- (a) If the surveillance visit shows that the non-compliance is of a serious nature;
- (b) If there is any serious contravention to the **HKCC Regulations for Product Certification**;
- (c) If inadequate corrective measures are taken by the Subscriber in the case of suspension;

If a Subscriber desires to cancel the Certification, the Subscriber should notify HKCC in writing stating the proposed date **for termination**.

Resumption of Certification will go through the normal application and assessment procedures. A new License number will be issued on successful completion of certification.

8. Regulations for Certification Mark

The use of Hong Kong Safety Mark License and Hong Kong Safety Mark is subject to certain conditions as outlined below:

The Hong Kong Safety Mark and the License are the properties of the Hong Kong Certification Centre. HKCC has full control over the use and display of License and the Mark. Subscriber authorized to use the Mark and License shall ensure that they are used in accordance with the regulations and requirements laid down in this document, the "**HKCC Regulations for Product Certification**" and the "Your Guide to Certification".

When certification of the product has been authorized there shall be a marking to indicate compliance with the Hong Kong Certification Centre's requirements in the form outlined below. Under no circumstances should a product bearing the Hong Kong Safety Mark be released to

The technical drawing on the left shows a diamond-shaped logo with the following dimensions and features:

- Overall width: 4.4
- Overall height: 4.7
- Top horizontal segments: 1, 1
- Left vertical segment: 3.5
- Bottom horizontal segment: 2
- Right vertical segment: 4.2
- Inner vertical segment: 1.2
- Inner horizontal segment: 3.4 cm
- Top radius: R2.9
- Bottom radius: R1.8
- Angles: 60° and 63°

The drawing on the right is a 3D perspective view of the logo, showing its thickness and the diamond shape.

The Hong Kong Safety Mark on any Certified Product will be identified with the holder of the License.

The diagram illustrates the relationship between a Mark, a License Number, and a User. A circle represents a user, with a line connecting it to a box labeled "Mark". Below the circle is the text "Lxxxxx A". A line connects the circle to a box labeled "HKCC License Number".

Where the Hong Kong Safety Mark is permitted to appear on a product by a separate marking medium, HKCC License Number shall be included in the design of the separate marking

medium.

The Hong Kong Safety Mark should be applied in such a way that is easily visible, clear, legible, and reliable and prevents it from deterioration. The Hong Kong Safety Mark may only be applied at factory locations or other sites, as specified and approved by HKCC.

9. Important Notes

9.1. Review of Certification Scheme

This Certification Scheme will be periodically reviewed at a minimum interval of 5 years to ensure its suitability based on the below considerations:

- (a) Changes or new National Certification requirements;
- (b) Changes or new requirements of product testing standards;
- (c) Changes or new requirements of Accreditation Bodies;
- (d) Experience gained and feedback received from interested parties.

9.2. Clarification on Certification Scheme

Any clarification on the Certification Scheme, if any, will be provided to interested parties upon request. If necessary, this information will also be published in the official website of HKCC (www.hk-cc.hk) and provided to relevant accreditation bodies.

9.3. Validation on Certification Scheme

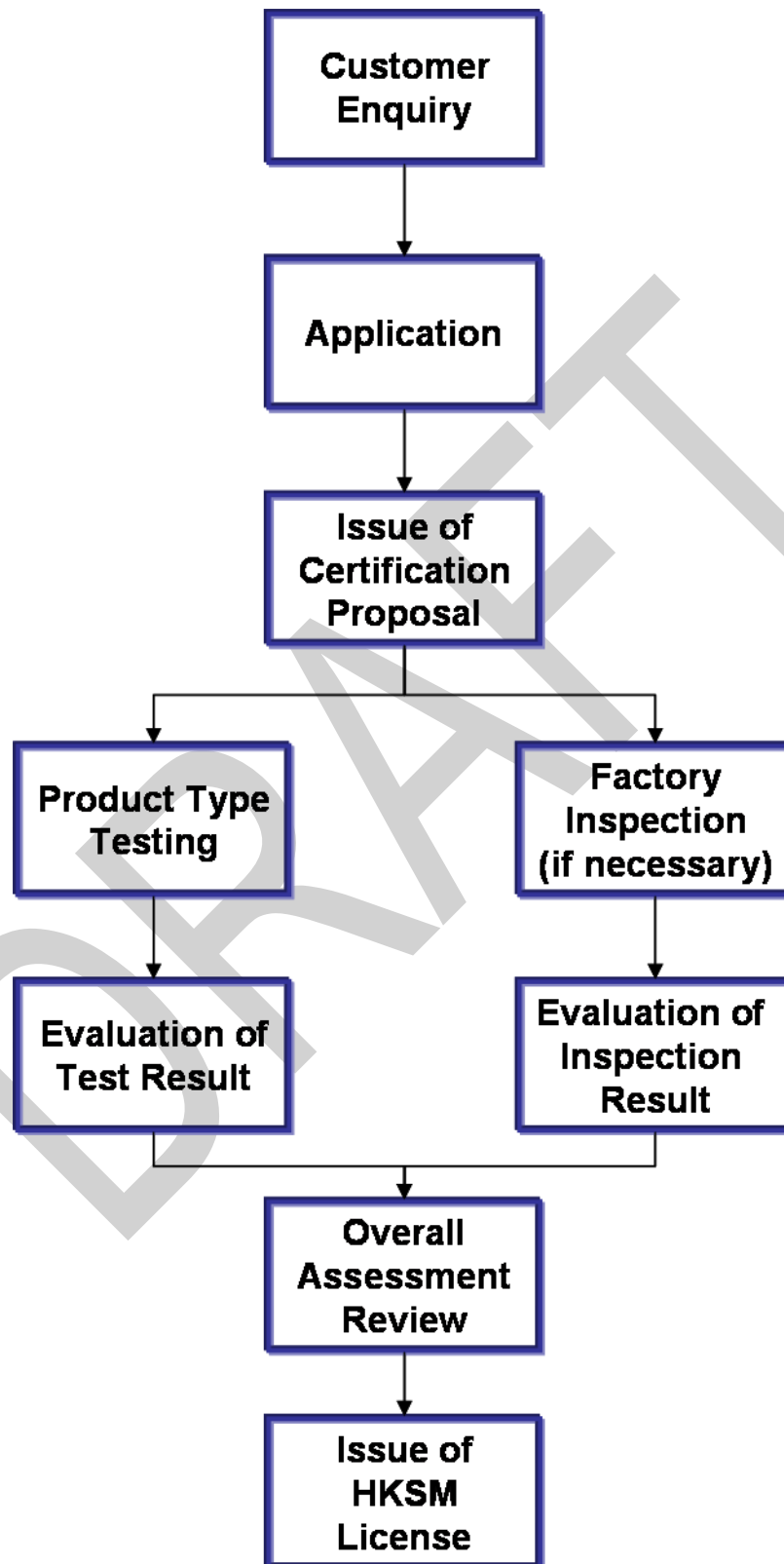
Any changes to the Certification Scheme, if applicable, shall be validated before implementation to evaluate any influences on the output of the scheme. A validation report shall be kept for records.

9.4. Complaint relating to Certification Scheme

HKCC has procedures in place and are available upon request to ensure that complaints from Subscribers or other interested parties regarding this certification scheme are dealt with fairly.

- End of Certification Scheme -

Appendix 1 – Pre-License Overview Work Flow



Appendix 2 – Testing Standards and Required Samples

Product	Testing Standard	Required Samples
Luminaires, Fixed, General Purpose Luminaires	IEC60598-2-1	3
Recessed Luminaires	IEC60598-2-2	3
Portable General Purpose Luminaires	IEC60598-2-4	3
Luminaires with built-in transformers for filament lamps	IEC60598-2-6	3
Portable Luminaires for Garden Use	IEC60598-2-7	3
Luminaires for Emergency	IEC60598-2-22	3
Self-Ballasted Lamps	IEC60968	6
Self-ballasted lamps for general lighting services - Performance requirements:	IEC60969	20

Appendix 3 – Critical Component Requirements

Item No.	Component Name	Reference Standard
1.	Power Cord	BS6500, IEC60227, IEC60245, IEC60799, IEC60702 or equivalent
2.	Plug	BS1363, BS546, or equivalent
3.	Receptacle	IEC60320-1 or equivalent
4.	Inlet	IEC60320-1 or equivalent
5.	Switch	IEC61058-1, IEC60669 (fixed) or equivalent
6.	Current Fuse	IEC60127, or equivalent
7.	Thermostat	IEC60730-2-9 or equivalent
8.	Thermal fuse	IEC60691 or equivalent
9.	Relay	EN60255-23 or EN61810-1 or equivalent
10.	Timer	IEC60730-2-7 or equivalent
11.	Lampholder	IEC60238, IEC60400, IEC60061, IEC60838, IEC61184 or equivalent
12.	Ballast	IEC61347 or equivalent
13.	Startor	IEC60155
14.	Inductor / Choke	IEC61347
15.	Capacitor	IEC60384, IEC60252, EN132400
16.	Fuse Holder	IEC60127-6 or equivalent
17.	Print circuit board	IEC60598 or equivalent
18.	Plastic Enclosure	IEC60598 or equivalent
19.	Terminal Block	IEC60998, IEC60999 (screwless)
20.	Transformer	IEC61558 or equivalent
21.	Internal Lead wire	UL grade certificate

Appendix 4 – Factory Inspection Requirements

This guideline provides the basic acceptable standard. Where considered necessary by HKCC, additional requirements/ tests shall be specified.

1. Purchased Material

Manufacturers must ensure that all purchased materials and services conform to specified requirements.

2. Incoming Goods Inspection System

The manufacturer must have adequate facilities for checking, receiving and storing incoming goods. Incoming goods that have a safety implication on the finished product shall be verified as complying with the appropriate specification.

If manufacturer relies on Certificates of Conformity to underwrite the quality of incoming goods, such Certificates must clearly identify the products to which they refer, the quantity of items covered the relevant specification with which the goods comply.

3. In-process quality control

Inspector shall determine whether checking methods in production used by the manufacturer effectively control the quality of product and ensure conformity with that of the sample that was originally approved. Production must be inspected at appropriate stages of manufacture to ensure that all piece-parts, components, sub-assemblies and wiring runs are in accordance with the sample against which products are certified.

The manufacturer shall fully document, and maintain up to date, the complete schedule of tests and inspections to be carried out on each product. The records of all inspections and quality checks shall be monitored and the results, including any trends, shall be regularly reported to production control.

4. Factory Routine Test

Inspector shall witness relevant factory tests to be carried out on production items, by the manufacturer, in order to establish that the certified products continue to meet the level of conformity.

These tests are intended to reveal a variation during manufacture, which could impair safety and are to be carried out on each appliance. Safety tests should cover both electrical and physical/mechanical safety aspects. Manufacturer may perform the tests at an appropriate stage during production, and normally carried out on the complete products. All records related to factory tests shall be maintained, including the type and results of the tests, non-conforming products handling.

5. Test Equipment

The equipment used for electrical and mechanical safety testing on the production line or by the quality control or quality audit departments, must be routinely checked and calibrated for correct operation.

- (a) An operational or functional check must be undertaken on a daily basis or at a frequency that will allow previous production to be re-tested, if incorrect functioning of the test equipment is detected. Typically, this check can be satisfied by applying the test equipment to a predetermined fault condition that constitutes a marginal failure. Operators must be instructed on what action to take if a check test proves unsatisfactory and must record these daily checks, together with any corrective action taken.
- (b) Measuring instruments and test equipment used for determining the safety of the products being manufactured shall be calibrated on a regular basis. All calibrations undertaken on such equipment must be traceable to national or other recognized standards. Records of calibrations undertaken for each instrument must be kept.

6. Records

The manufacturer must maintain appropriate records, for a minimum period of between two inspection visits, to substantiate conformance with specified requirements in a legible and identifiable. Such records should include the following:

- Inspection records of safety critical components;
- In-process quality control;
- Certificates of Conformity;
- Testing standards for certified product;
- Operator training;
- Routine tests, including results of functioning checks on test equipment;
- Calibration information.

7. Handling and storage

Inspector shall check the condition of storage of components, semi-assemblies and finished products. All of these must be handled and stored to avoid damage and in such a way as to ensure continued compliance with applicable standards.

8. Customer complaints

Manufacturer should record all customer complaints related to HKSM certified product. The description and cause of complaint, the corrective action taken by subscriber and the result of handling should be recorded. Inspector also should record any serious nature in the Factory Inspection Report.

10. Consumption of Hong Kong Safety Mark Label

Subscriber should be advised to keep a production record during Initial Factory Evaluation (IFE) inspection. Inspector should check the production record and quantity in every visit and record details on inspection report. It should include the following:

- (i) How many quantities have been produced since the last visit?
- (ii) How many quantities have been produced since the last visit to December 31?

Appendix 5 – Applicable Versions of Test Standards

New Standard / Amendment Issued					-6	-5	-4	-3	-2	-1	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	42	44	45	46	47	48	49	50	51	52	53	54
Application for Certification to Outdated Standard (Need type tests)	ACCEPT																								NOT ACCEPT																																							
Application for Certification to Outdated Standard (Verification only)	ACCEPT																								NOT ACCEPT																																							
Application for Certification to New Standard	ACCEPT																																																															
Issue Licence for Outdated Standard	ALLOW																																																NOT ALLOW															

Explanation:

When new version or amendment of the standard is issued, then:

1. After 24 months, application for certification to outdated standard which needs type test will not be accepted.
2. After 36 months, application for certification to outdated standard which needs report verification will not be accepted.

Appendix 6 – Revision History

Revision	Issue Date	Revision Summary
0	2013-02-01	New Issue.
1	2016-01-01	<ul style="list-style-type: none"> i. Update company address; ii. Change reference document from ISO/IEC Guide 67:2004 to ISO/IEC 17067:2013; iii. Delete section 4.6.2 “Type Test Assessment”.
2	2024-xx-xx	<ul style="list-style-type: none"> i. Amend section 4.4 “Overall Review”: <ul style="list-style-type: none"> – Add definitions for “Minor Nonconformity” and “Major Nonconformity”; ii. Amend section 4.5 “Issue of HKSM License”: <ul style="list-style-type: none"> – Describe the manner how the evaluation results are to be interpreted for granting HKSM license; – Detail the information that to be contained in the HKSM license; iii. Add section 4.6.2 “Conclusions from RIV”: <ul style="list-style-type: none"> – Describe manner how the RIV results are to be interpreted to continue or suspend the HKSM certification; iv. Add section 9 “Important Notes”: <ul style="list-style-type: none"> – 9.1 “Review of Certification Scheme”; – 9.2 “Clarification on Certification Scheme”; – 9.3 “Validation on Certification Scheme”; – 9.4 “Complaint relating to Certification Scheme”.