

**Conformity Assessment Scheme (CAS)**

**Evaluation Application Form**

 **Notes on Conformity Assessment Scheme (CAS) Evaluation Application**

**Purpose**

This application form is primarily designed for owners of Conformity Assessment Schemes (CAS) seeking an evaluation of a *new* scheme;

1. prior to an application for accreditation, or
2. where the CAS will be used by two or more UK-based conformity assessment bodies (CABs) (i.e. a ‘national’ scheme*)*, or
3. where the CAS will be used by conformity assessment bodies based in two or more EU countries (i.e. an ‘international’ CAS as defined in [EA-1/22 A-AB: 2020](https://european-accreditation.org/publications/ea-1-22-a/) which will be subject to the full EA-1/22 process).

All relevant information required in *Section 2:* *Conformity Assessment Scheme (CAS) Information* will need to be submitted for *any new CAS* as UKAS evaluates all new CAS in the same way, following the relevant steps of the process detailed in the European Cooperation on Accreditation publication EA-1/22 dependent on whether a national or international CAS.

Notes:

* For CABs already accredited by UKAS and seeking extension to scope (ETS) for a new CAS it is recognised that UKAS already holds some of the information requested in Section 1 of this form.
* Existing CABs seeking accreditation to include a new CAS should continue to apply through the normal UKAS ETS application process, and the CAS evaluation will form part of the overall assessment of the body concerned; specific information will be requested regarding the CAS using this form.
* An international CAS will follow the EA-1/22 process with UKAS acting as the National Accreditation Body (NAB) having specific responsibility under the EA-1/22 process.

**Conditions for evaluating a conformity assessment scheme (CAS)**

UKAS will process a request for a CAS evaluation from a Scheme Owner (SO) under the following conditions:

1. The SO shall be a legal entity, or a defined part of a legal entity, that is legally responsible for its activities;
2. The SO has the authority to establish and change the requirements of the CAS;
3. The SO shall have the mandate to cooperate with UKAS and shall have a mechanism to provide for feedback from UKAS on the operation of the CAS;
4. The SO shall be able to demonstrate that there is a need in the market for the CAS;
5. The SO commits to accept results from CABs accredited by any EA MLA signatory (for relevant scope) which follow the CAS requirements;
6. The SO shall demonstrate that the CAS has been validated (see [EA-1/22 A-AB: 2020](https://european-accreditation.org/publications/ea-1-22-a/) 3.1.6);
7. The SO shall restrict the use of the CAS to accredited CABs with which an agreement has been entered into\*;

\*Such an agreement must guarantee at least that the CABs will use the CAS as it is without any limitations and without any additions. A transition arrangement should clarify how the transition from non-accredited conformity assessment will be managed and how new CABs may start using the CAS.

The SO understands that any CAS specific requirements placed upon CABs shall not contradict or exclude any of the requirements included within the relevant ISO/IEC 17000 series conformity assessment standard;

1. The SO understands that any CAS specific requirements placed upon accreditation bodies shall not contradict or exclude any of the requirements of ISO/IEC 17011, EU Regulation (EC) 765/2008 and/or European Cooperation on Accreditation (EA), International Laboratory Accreditation (ILAC) or International Accreditation Forum (IAF) mandatory documents;
2. The SO understands that the CAS in the voluntary sector shall not contradict nor simply be the fulfilment of applicable legal requirements;

Additionally, the Scheme Owner (hereafter ‘the applicant’) understands that by completing and submitting this application form together with the required supporting information that:

1. This will initiate an evaluation of the CAS where the costs of the evaluation will be paid by the applicant,
2. The resulting evaluation report and any UKAS ‘acceptance’ of the CAS for accredited conformity assessment purposes relates only to the specific CAS (including version status) subject to the evaluation,
3. Any UKAS ‘acceptance’ of the CAS for accredited conformity assessment purposes does not guarantee that CABs will be accredited to the specific CAS without changes to the CAS being necessary,
4. The responsibility for maintaining the CAS remains with the applicant and that to maintain UKAS ‘acceptance’ status of the CAS will require further UKAS evaluation (and incur costs) whenever the CAS content changes,
5. The responsibility for notifying CABs of the UKAS ‘acceptance’ status and all other relevant aspects of the CAS rests with the applicant,
6. No CAB will be assessed or accredited for a scope to include the CAS under evaluation until the evaluation process is completed and the CAS has achieved ‘acceptance’ status,
7. This constitutes an agreement to comply with the evaluation process.

 **Section 1: CAS Application Submitter Information**

|  |  |
| --- | --- |
| **Organisation name:** | Click or tap here to enter text. |
| Please state ***legal entity*** and ***trading name*** if different) |
| **Legal status:** | [ ]  Private limited company [ ]  Public body [ ]  Part of a learned/technical institution[ ]  Part of an academic institution | [ ]  Private partnership[ ]  Sole trader [ ]  Public limited company [ ]  Other\*  |
| \*If *‘Other’* please specify here:Click or tap here to enter text. |
| **Main address:** | Click or tap here to enter text. |
| **Website:** | Click or tap here to enter text. |
| **Telephone:** | Click or tap here to enter text. | Email: | Click or tap here to enter text. |
| **Company registration no:** | Click or tap here to enter text. |
| **VAT registration no:** | Click or tap here to enter text. |
| **Main contact** | Click or tap here to enter text. |
| **Name:** | Click or tap here to enter text. |
| **Position:** | Click or tap here to enter text. |
| **Telephone:** | Click or tap here to enter text. | Email: | Click or tap here to enter text. |
| **What is the main business activity of your organisation?** |
| Click or tap here to enter text. |

 **Section 2: Conformity Assessment Scheme (CAS) Information**

This section covers information to be provided by Scheme Owners (SO) (from [EA-1/22 A-AB: 2020](https://european-accreditation.org/publications/ea-1-22-a/%22%20%5Ct%20%22_blank))

|  |
| --- |
| **Is the SO willing to use UKAS as the unique contact point for the evaluation of the Conformity Assessment Scheme (CAS)?** |
| [ ]  **Yes** [ ]  **No** Click or tap here to enter text. |
| **Is the CAS intended to be used only at a national level?** |
| [ ]  **Yes** [ ]  **No** *- please specify intended use below*Click or tap here to enter text. |
| **Is the CAS currently being used by Conformity Assessment Bodies (CABs) under accreditation from any of the EA members?** If yes, please identify the EA member. If no but it has previously been reviewed by an Accreditation Body (AB), please provide details and outcome of the evaluation |
| [ ]  **Yes** - *please identify the EA member below* Click or tap here to enter text. [ ]  **No** - *if it has previously been reviewed by an Accreditation Body (AB), please provide details and outcome of the evaluation below*Click or tap here to enter text. |
| **Provide a full description of the Scheme Owner (SO) including the following** |
| **Name and acronym** | Click or tap here to enter text. |
| **Type of legal entity** | Click or tap here to enter text. |
| **Address** | Click or tap here to enter text. |
| **Website** | Click or tap here to enter text. |
| **Members and membership rules** *(if relevant)* | Click or tap here to enter text. |
| **Brief history** | Click or tap here to enter text. |
| **Any other activities performed** *(if relevant)* | Click or tap here to enter text. |
| **Relations to, or links with, other organizations & the authorities, both at international and national levels** *(if any)* | Click or tap here to enter text. |
| **Technical area of activity** *(e.g. aerospace, electrical testing, food safety)* | Click or tap here to enter text. |
| **Geographical area of acceptance** *(e.g. certain European countries, all of Europe or global)* | Click or tap here to enter text. |
| **Provide evidence of market need for the CAS**  |
| Click or tap here to enter text. |
| **Under which conformity assessment standard(s) does the CAS operate? (For example, product certification, testing, etc.) Include the rationale for your choice and identify the CAS document where it is specified.**  |
| Click or tap here to enter text. |
| **Has the SO established CAS specific requirements for the operation of CABs wishing to operate within the CAS? If YES, please describe the specific CAS requirements and identify the CAS documents where these are described. State also how such requirements are made publicly available.**  |
| Click or tap here to enter text. |
| **Does the SO (by itself or through another organization) perform any kind of assessment of the CAB? If so, describe it and refer to the CAS document where it is described.**  |
| Click or tap here to enter text. |
| **If the answer to the above question is YES, does the SO request the NABs to accept or take into account such an assessment during the accreditation process? If so, please identify the CAS document where this is stated and described.**  |
| Click or tap here to enter text. |
| **Does the SO perform any kind of activity to confirm recognition of CABs which wish to work within the scope of the CAS, beyond requiring that they are accredited to the CAS requirements? If so, describe the activity and identify the CAS document(s) where this is stated.** |
| Click or tap here to enter text. |
| **Does the CAS request EA or EA members to cooperate with the SO on issues other than accreditation of CABs? If so, specify the areas of cooperation required and refer to the CAS document where these are described.** |
| Click or tap here to enter text. |
| **Has the SO established CAS specific requirements for the operation of National Accreditation Bodies? If YES, please identify the CAS document where these are described.** |
| Click or tap here to enter text. |
| **What is the object of conformity assessment? Please state as specifically as possible and submit a copy of the certificate containing the specific attestation.** *(Objects of conformity assessment may be claims, products, services, materials, installations, processes, systems, persons or bodies).* |
| Click or tap here to enter text. |
| **What are the specific requirements relating to the characteristics of the object of conformity assessment? Please identify the CAS documents where these are stated.**Notes:* Requirements shall be written in a clear, direct and precise manner and that they shall result in accurate and uniform interpretation, so that parties making use of the normative document are able to derive from the contents of the normative document, a common understanding of its meaning and intent
* Requirements shall be written in terms of results or outcomes, together with limiting values and tolerances, where pertinent
* Requirements shall be stated unambiguously using wording that is objective, logical, valid and specific
 |
| Click or tap here to enter text. |
| **Are all measurement values expressed in SI units (International System of Units)?** |
| Click or tap here to enter text. |
| **Does the CAS apply the functional approach to conformity assessment scheme including the following functions?*** selection of the object(s) of conformity assessment, including selecting specified requirements to be assessed and planning information collection and sampling activities;
* determination, including the use of one or more determination methods (e.g. test, audit and/or examination) to develop complete information regarding fulfilment of the specified requirements by the object of conformity assessment or its sample;
* review and attestation, including the review of evidence from the determination stage, and a subsequent attestation that the object of conformity assessment has been reliably demonstrated to fulfil the specified requirements, and any subsequent marking or licensing and their related controls, where applicable;
* surveillance (where applicable), including the frequency and extent of surveillance activities and reassessments to ensure the object of conformity assessment continues to fulfil the specified requirements
 |
| Click or tap here to enter text. |
| **If the CAS involves sampling, which procedures are required for sampling?** (To gain consistent and reproducible results, sampling methods should be based, whenever possible, on statistical methods provided in International Standards). |
| Click or tap here to enter text. |
| **Are there test methods or inspection procedures involved in the CAS? Where are these described?** |
| Click or tap here to enter text. |
| **Does the CAS consider the use of marks of conformity? If yes, provide evidence to demonstrate how it has protected those marks and laid down rules for their use in accordance with the requirements of the relevant conformity assessment standard.** |
| Click or tap here to enter text. |
| **Provide evidence that the CAS was designed by persons demonstrably competent in that capacity. The competence shall cover both the technical field of expertise and the conformity assessment procedure used.**Note: CABs may be involved in the development process of CASs within the limitations given in the standards used for their accreditation. |
| Click or tap here to enter text. |
| **Provide evidence that the interested parties for the CAS were analysed, identified and consulted, and that any issue raised by such parties was suitably addressed in the development of the CAS.** |
| Click or tap here to enter text. |
| **Provide evidence that the CAS is validated, considering the details given in EA-1/22 A-AB: 2020 clause 3.1.6**As a minimum validation must demonstrate that the CAS has successfully completed a test period, demonstrating that it is ‘fit for purpose’ (i.e. capable of consistently achieving its stated objectives). As a minimum, the validation should demonstrate that:* the conformity assessment, as described, is practicable?
* the determination activities as described quantify or in other ways identify and confirm the characteristics which the SO intends and expects to identify, and which constitute the basis for conformity assessment?
* the requirements are specified in a way that ensures reproducibility and reliability of results?
 |
| Click or tap here to enter text. |
| **For the evaluation of an existing CAS, the SO shall identify all EA NABs implementing the CAS and demonstrate what measures have been taken so that the NABs currently accrediting CABs for the CAS perform the accreditation in a harmonized way.** |
| Click or tap here to enter text. |

 **Section 3: CAS Evaluation Application Declaration**

I declare that I am authorised, on behalf of the Scheme Owner, to submit this application, that the information contained herein is both correct and accurate to the best of my knowledge and belief and understand that submitting this application constitutes acceptance of the conditions for evaluating a conformity assessment scheme.

|  |  |
| --- | --- |
| **Signed:** |   |
| **Date:** | Click or tap to enter a date. |
| **Print name:** | Click or tap here to enter text. |
| **Position:** | Click or tap here to enter text. |