

How To Read Compliance Documents



Intended for intermediate compliance programs

Sample Children's Product Certificate (CPC) Format From The Consumer Product Safety Commission (CPSC)

This is the information required by the Consumer Product Safety Commission, CPSC. There is no standard format for providing this information.

CHILDREN'S PRODUCT CERTIFICATE

1. Identification of the product covered by this certificate
2. Citation to each CPSC product safety regulation to which this product is being certified
3. Identification of the U.S. importer or domestic manufacturer certifying compliance of the product
4. Contact information for the individual maintaining records of test results
5. Date and place where this product was manufactured
6. Date and place where this product was tested for compliance with the regulation cited above
7. Identification of any third-party laboratory on whose testing the certificate depends

WHAT IS CERTIFICATION?

Certification generally means the process of providing assurance that a product conforms to a standard or specification. Consumer product safety certification is required by [section 14\(g\) of the Consumer Product Safety Act \(CPSA\)](#), 15 U.S.C. S2063(g).

REQUIREMENTS FOR CERTIFICATES

- A certificate must certify, based on a test of each product or upon a reasonable testing program, that the product complies with all rules, bans, standards, or regulations that are applicable to the specific product referenced on the certificate under this Act or any other Act enforced by the Commission.
- A certificate must specify each rule, ban, standard, or regulation applicable to the product.
- A certificate must "accompany" each product or shipment of products covered by the same certificate.
- A copy of the certificate must be furnished to each distributor or retailer of the product. It **does not** need to be a paper copy. A website link is permissible.
- A copy of the certificate must be made available to the CPSC and customs upon request
- A copy **does not** need to be provided to the end consumer/recipient unless requested.

TYPES OF CERTIFICATES

General Conformity Certificate (GCC) and Children's Product Certificate (CPC): A declaration of a product's conformity to federal safety rules, bans, standards or regulations, [where required by product safety regulations](#), based on a test of the product or a reasonable testing program.

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Third-party testing is required for some consumer product categories. These tests are reflected in CPCs and GCCs. Learn tips and tricks to identify good test reports.

Sample Completed Children's Product Certificate (CPC)

Manufacturer or importer completes this form—not the testing lab.



Be sure to compare the CPC against the test report

Optional— Supplier or importer company logo

Optional— Provided by importer or testing lab

Company ABC123

Certificate Number CA16327-2433SIL

Children's Product Certificate

Part number and description

RABC - 1 Multi-colored Beach Ball

CPSC governed regulation(s) which may be applicable to product

If this product is decorated and marketed or distributed in such a way that it is determined to be a "children's product" as that term is defined and enforced under the US Consumer Product Safety Improvement Act (CPSIA) the following regulations apply:

CPSIA Lead in Substrate

If this product is decorated and marketed or distributed in such a way that it is determined to be an article intended for use by children as that phrase is enforced under the US Federal Hazardous Substances Act (FHSA) the following regulations apply:

FHSA Lead in Surface Coating (16 CFR 1303)

Importer certifying compliance

Company Name
Street & Address
City, State, Zip

Importer's Custodian for test record maintenance

Supervisor of Regulatory Compliance
Company Name
Street & Address
City, State, Zip
E-mail Address

Date product manufactured

12/15/2016

City & Country where product was manufactured

Ningbo, China

Date product was tested for compliance with above listed regulation(s)

Lead in Substrate	3/7/2017
Lead in Surface Coating (16 CFR 1303)	3/7/2017
Lead in Surface Coating (16 CFR 1303) - Decoration	

Third party testing lab responsible for testing

Testing lab name
Street & address
City, State, Zip
Phone
E-mail

Best Practice: Supplier should provide a CPC for all children's products even if no regulations apply. State "none" under governed regulations

A CPC lists only CPSC enforced regulations. For example, you are not required to list FDA regulations on this form

Do not need to publicize factory name or address

Are all of these tests noted on the test report?

Must be a specific product—not a generic product or product line

Does supplier acknowledge that the item is a children's product? If the item "becomes" a children's product based on the imprint, testing as a children's product is recommended.

U.S. importer or manufacturer certifying compliance

Importer/supplier staff member responsible for compliance

Different standards apply based on date of manufacture

Does the test date match the date noted on the test report?

Is this the same testing lab noted on the test report?

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Sample Completed Test Report (Page 1)

Third-party testing lab completes this form. Multiple pages common.

GOOD
Sample Report

Testing lab name and address. Is this the same lab noted on the CPC?


Supplier or importer contact information

If item is a toy, testing required for ASTM963. Compliance with that standard requires age-grading. Consult a test lab

Remarks reflect testing lab notes or manufacturer/importer directions to the lab

Does the test report include every test noted on the CPC?

Test date—valid for one year—unless material change made in production



123 Main Street
Any City, ST 54321

Project No. 2017-03-07-02-H•March-15-2017

Test Report

Client Contact Information

Promotional Product Company Name	Compliance Manager Name
Street Address	Phone
City, State	Fax
Zip	E-mail
Country	

Your Product Information

Product Names:	Multi-Colored Beach Ball
Product Code, ISMN, SKU or Style #:	P-ABC-1
Current Status:	Final Production
Product Description:	Multi-Colored Beach Ball
Age Grading:	All ages
Country of Origin:	China
Country Intended for Sale:	USA and Canada
Re-test Status:	No
Changes made after the original test:	NA
Remarks:	1) Tests as per client's request 2) Client agreed to the omission of Producer's Marking - Clause 7 of ASTM F963-08 as it is not available at the time of testing

Test Results Summary (see the following pages for additional details)

ASTM F963-08 test	PASS	10 of 10 TESTS	details on following pages
CPSIA Section	PASS	3 of 3 TESTS	details on following pages
CPSIA Section 108	PASS	3 of 3 TESTS	details on following pages

Authorization

Signature of laboratory manager

Laboratory Manager _____

Date: _____ 3/15/2017

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Compare this date to the date on the CPC. Are they identical?

Product description must be identical to purchased product. Cannot be a generic description or product line. Must be identical to CPC

If item is imprinted and surface coating can be scratched off, must test for lead in surface coatings

Compare to CPC. Do all tests match? All tests must pass

Sample Completed Test Report (Page 2)

Third-party testing lab completes this form. Multiple pages common.

GOOD
Sample Report

LAB Exact 123 Main Street
Any City, ST 54321

Project No. 2017-03-07-02-H-March-15-2017


Test Report

Sample Descriptions

Parts From Factory

Part	# of samples received	Date Received
Blue/Yellow/Red rubber	6	March 08, 2017
Clear plastic air valve	6	March 08, 2017
White/Green/Orange rubber	6	March 08, 2017

Multi-colored Beach Ball comprised of three parts from factories:



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Are all parts of the product identified and tested?


Does the test report include a photo?

Does the report include a photo of the product that was tested (size, color, material)?

Sample Completed Test Report (Page 3)

Third-party testing lab completes this form. Multiple pages common.





123 Main Street
Any City, ST 54321

Project No. 2017-03-07-02-H-March-15-2017

Test Report

Sample Descriptions

Physical and Mechanical Standard Consumer Safety Specification On Toy Safety

Physical and Mechanical Test	✓	Clause	ASTM F963-08
Abuse Testing	✓	8.6	PASS
Flammability	✓	4.2	PASS
Impact Tests	✓	8.7	PASS
Instructional Literature	✓	8	PASS
Material Quality	✓	4.1	PASS
Normal Use Testing	✓	8.5	PASS
Safety Labeling Requirements	✓	5	PASS
Small Parts Volume	✓	4.5	PASS
Tension Test for Component Removal	✓	8.9	PASS
Torque Tests for Component Removal	✓	8.8	PASS

Chemical Test

CPSC HR4040-6P		GCMS/HR4040_6P			
Component Name	Unit	Limit	Result	Status	
BBP					
AA12826	%	<-0.1	<0.01	PASS	
AA12827	%	<-0.1	<0.01	PASS	
AA12828	%	<-0.1	<0.01	PASS	
DBP					
AA12826	%	<-0.1	<0.01	PASS	
AA12827	%	<-0.1	<0.01	PASS	
AA12828	%	<-0.1	<0.01	PASS	

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Are all required tests noted? Compare using TurboTest or consult a testing lab

The test report must list actual results. Cannot use terms such as "Acceptable"

Sample Completed Test Report (Page 4)

Third-party testing lab completes this form. Multiple pages common.





123 Main Street
Any City, ST 54321

Project No. 2017-03-07-02-H-March-15-2017

Test Report

CPSC HR4040-6P	GCMS/HR4040_6P			
Component Name	Unit	Limit	Result	Status
DEHP				
AA12826	%	<-0.1	<0.01	PASS
AA12827	%	<-0.1	<0.01	PASS
AA12828	%	<-0.1	<0.01	PASS
DIDP				
AA12826	%	<-0.1	<0.01	PASS
AA12827	%	<-0.1	<0.01	PASS
AA12828	%	<-0.1	<0.01	PASS
DINP				
AA12826	%	<-0.1	<0.01	PASS
AA12827	%	<-0.1	<0.01	PASS
AA12828	%	<-0.1	<0.01	PASS
DnOP				
AA12826	%	<-0.1	<0.01	PASS
AA12827	%	<-0.1	<0.01	PASS
AA12828	%	<-0.1	<0.01	PASS

HR4040 LEAD SUBSTRATE	ICP-1/SUBSTRATE			
Component Name	Unit	Limit	Result	Status
Lead in substrate				
AA12826	ppm	<-100	<5	PASS
AA12827	ppm	<-100	<5	PASS
AA12828	ppm	<-100	<5	PASS

From 14 Aug 2009, total digested lead in substrates is <=300ppm and will be <=100ppm as of 14 Aug 2011.

Sample ID	Part name
AA12826	Blue/Yellow/Red rubber
AA12827	White/Green/Orange rubber
AA12828	Clear plastic air valve

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Measure PPM—
determine how close
to the limit

Third-party testing is required for some consumer product categories. These tests are reflected in CPCs and GCCs. Learn tips and tricks to identify incomplete or “bad” test reports.

Sample Completed Children’s Product Certificate (CPC)

Manufacturer or importer completes this form—not the testing lab.



Company ABC123 Certificate Number CA16327-2433SIL

Children’s Product Certificate

Part number and description: Beach Ball

CPSC governed regulation(s) which may be applicable to product: Not for use by children under 12

Importer certifying compliance: Company Name, Street & Address, City, State, Zip

Importer’s Custodian for test record maintenance: [Blank]

Date product manufactured: 1/15/2017

City & Country where product was manufactured: Ningbo, China

Date product was tested for compliance with above listed regulation(s): 1/10/2008

Third party testing lab responsible for testing: Testing lab name (Lab not authorized by CPSC), Street & address, City, State, Zip, Phone, E-mail

Annotations:

- Be sure to compare the CPC against the test report
- Optional—Supplier or importer company logo
- Optional— Provided by importer or testing lab
- Must be a specific product—not a generic product or product line
- Best Practice: Supplier should provide a CPC for all children’s products even if no regulations apply. State “none” under governed regulations
- Does supplier acknowledge that the item is a children’s product? If the item “becomes” a children’s product based on the imprint, testing as a children’s product is recommended.
- A CPC lists only CPSC enforced regulations. For example, you are not required to list FDA regulations on this form
- Cannot label/warn your way out of compliance
- All fields must be completed
- U.S. importer or manufacturer certifying compliance
- Do not need to publicize factory name or address
- Importer/supplier staff member responsible for compliance
- Test must be performed within the past 12 months for all children’s products
- Different standards apply based on date of manufacture
- Are all of these tests noted on the test report?
- Does the test date match the date noted on the test report?
- Is this the same testing lab noted on the test report?

Sample Test Report (Page 1)

Third-party testing lab completes this form. Multiple pages common.



Testing lab name and address. Is this the same lab noted on the CPC?

Supplier or importer contact information

If item is a toy, testing required for ASTM963. Compliance with that standard requires age-grading. Consult a test lab

Remarks reflect testing lab notes or manufacturer/importer directions to the lab

Does the test report include every test noted on the CPC?

Test date—valid for one year—unless material change made in production

321 Blvd.
One City, ST 12345

Project No. 2011-03-07-02-H-January-10-2010

Test Report

Client Contact Information

Promotional Product Company Name	Compliance Manager Name
Street Address	Phone
City, State	Fax
Zip	E-mail
Country	

Your Product Information

Product Names:	Green Beach Ball
Product Code, ISMN, SKU or Style #:	1-ABC-F
Current Status:	Sample
Product Description:	Green Beach Ball
Age Grading:	Not a children's product
Country of Origin:	China
Country Intended for Sale:	USA and Canada
Re-test Status:	No
Changes made after the original test:	NA
Remarks:	1) Tests as per client's request 2) Not intended for use by children under 12, not a toy 3) Client agreed to the omission of Producer's Marking - Clause 7 of ASTM F963-08 as it is not available at the time of testing

Test Results Summary (see the following pages for additional details)

CPSIA Section	PASS	3 of 3 TESTS	details on following pages
CPSIA Section 108	PASS	3 of 3 TESTS	details on following pages

Authorization

Signature of laboratory manager

Laboratory Manager

Date: 1/10/2010

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Compare this date to the date on the CPC. Are they identical?

Product description must be identical to purchased product. Cannot be a generic description or product line. Must be identical to CPC

All children's products must include a tracking label. Manufacturers may wait to apply tracking label until all imprints are affixed. Cannot label your way out of compliance

If item is imprinted and surface coating can be scratched off, must test for lead in surface coatings

Compare to CPC. Do all tests match? All tests must pass

Sample Test Report (Page 2)

Third-party testing lab completes this form. Multiple pages common.



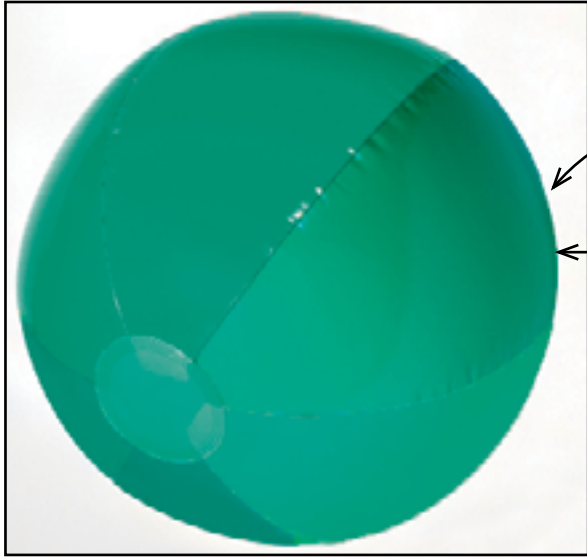
AB Exact 321 Blvd. One City, ST 12345 Project No. 2011-03-07-02-H-January-10-2010

Test Report

Sample Descriptions

Parts From Factory

Part	# of samples received	Date Received
Multi-color rubber	1	January 10, 2010



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Are all parts of the product identified and tested?


Does the test report include a photo?

Does the report include a photo of the product that was tested (size, color, material)?

Sample Test Report (Page 3)

Third-party testing lab completes this form. Multiple pages common.





321 Blvd.
One City, ST 12345

Project No. 2011-03-07-02-H-January-10-2010

Test Report

Sample Descriptions

Physical and Mechanical Standard Consumer Safety Specification On Toy Safety

Physical and Mechanical Test	Clause	ASTM F963-08
Flammability	4.2	PASS
Impact Tests	8.7	PASS
Material Quality	4.1	PASS
Tension Test for Component Removal	8.9	PASS
Torque Tests for Component Removal	8.8	PASS

Chemical Test

Component Name	Unit	Status
CPSC HR4040-6P GCMS/HR4040_6P		
BBP		
AA12826	%	Acceptable
AA12827	%	Acceptable
AA12828	%	Acceptable
DBP		
AA12826	%	Acceptable
AA12827	%	Acceptable
AA12828	%	Acceptable

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Are all required tests noted? Compare using TurboTest or consult a testing lab

The test report must list actual results. Cannot use terms such as "Acceptable"

Sample Test Report (Page 4)

Third-party testing lab completes this form. Multiple pages common.





321 Blvd.
One City, ST 12345

Project No. 2011-03-07-02-H-January-10-2010

Test Report

CP5C HR4040-6P	GCMS/HR4040_6P			
Component Name	Unit	Limit	Result	Status
DEHP				
AA12826	%			Acceptable
AA12827	%			Acceptable
AA12828	%			Acceptable
DIDP				
AA12826	%			Acceptable
AA12827	%			Acceptable
AA12828	%			Acceptable
DINP				
AA12826	%			Acceptable
AA12827	%			Acceptable
AA12828	%			Acceptable
DnOP				
AA12826	%			Acceptable
AA12827	%			Acceptable
AA12828	%			Acceptable

HR4040 LEAD SUBSTRATE	ICP-1/SUBSTRATE			
Component Name	Unit	Limit	Result	Status
Lead in substrate				
AA12826	ppm			Acceptable
AA12827	ppm			Acceptable
AA12828	ppm			Acceptable

Sample ID	Part name
AA12827	Green rubber

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Measure PPM—
determine how close
to the limit

PRODUCT™
RESPONSIBILITY
POWERED BY **PPAI**