



## Hong Kong Certification Body Accreditation Scheme

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### HKCAS 007

#### Assessment / Reassessment Questionnaire

(For quality and environmental management system certification only)

This form should be used for assessments of quality management system certification and environmental management certification. For assessments of product certification, form HKCAS 013 should be used.

For initial applications for accreditation and applications for extension of scope of accreditation, this questionnaire should be completed and returned to HKAS Executives together with the application form HKCAS 005 and all relevant documents as listed in the checklist on page 2.

For reassessment, this completed questionnaire together with any completed supplementary questionnaire must be returned to HKAS Executives one month before the scheduled reassessment date accompanied by the relevant documents.

**Fees payable for assessments are calculated in accordance with:**

HKCAS 006, Schedule of Accreditation Fees for Certification Body in Hong Kong

**You should study carefully the latest versions of the following documents before completing this questionnaire:**

HKAS 002, Regulations for HKAS Accreditation

HKCAS Supplementary Criteria No. 4, Accreditation Regulations Specific for HKCAS - Certification Body

ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems

**HONG KONG ACCREDITATION SERVICE**

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Tel.: 2829 4840

Fax.: 2824 1302

E-mail : [hkas@itc.gov.hk](mailto:hkas@itc.gov.hk)

The personal data collected will be used for accreditation purpose only.

## Attachment Checklist

Before sending this completed questionnaire to HKAS Executive, please check that all required documents are attached and tick the appropriate boxes below.

This Application Questionnaire is related to: (more than one box may be ticked if appropriate)

- Initial Assessment       Extension of Scope       Reassessment
- application fees (for initial applications and applications for extension of accreditation only, no application fees are charged for reassessments), in the form of a cheque payable to **The Government of the Hong Kong Special Administrative Region**. In addition to application fees, assessment fees will be charged. Applicants will be informed of the exact amounts when the on-site assessments have been arranged.
- documents authenticating that the applicant certification body is a legal entity.
- quality manual
- operation procedure manual
- other quality documentation; please specify

- latest internal audit schedule
- Record of the latest management review
- Certification body organisation charts, with key positions clearly identified
- sample audit reports on applicant organisations
- sample certificate for certified organisations
- completed supplementary questionnaires
- documents required in any supplementary questionnaires
- other documents, please specify

- confirmed scope of accreditation

## **SCOPE OF ACCREDITATION**

**For applications for accreditation and applications for extension of Scope of Accreditation, the activities to be included should be detailed in the “Scope of Accreditation Sought” on pages 4 or 5.**

**For reassessments, the “Scope of Accreditation to be Reassessed” will have been sent to the certification body together with this questionnaire. The certification body should check this scope carefully and minor changes should be annotated on it.**

**This scope should then be signed and returned to HKAS Executive together with this completed questionnaire for confirmation.**

**If major additions to the Scope of Accreditation are requested, the certification body should consult HKAS Executive on whether an application for extension of Scope of Accreditation should be submitted.**

## Scope of Accreditation Sought (For QMS/EMS applications)

( for application for accreditation or extension of Scope of Accreditation only)

Certification of Quality Management Systems / Environmental Management Systems\* in the following areas in accordance with ISO/IEC 17021.

(Please refer to Annex 1 on page 10 for area no. and description)

HKCAS Scope of Accreditation

Area No.	Description	No. of organisations certified	No. of application received <sup>1</sup>	Sample assessment report <sup>2</sup>	Sample certificate <sup>3</sup>

1. The number of application (for certification in this area) received but not yet certified.
2. Please provide a sample audit report for each area for which accreditation is sought and state the identification number(s) of the sample assessment report(s) provided.  
(see the “Audit report” section on page 9).
3. Please state the identification number of the sample certificate(s) provided. The sample certificate(s) should match with the sample assessment report(s) provided.

\* Delete whichever is not applicable

(Photocopy this sheet if required)

## General Information

Organisation Name

(Accreditation will be granted to):

Hong Kong Office (if applicable):

Date of Hong Kong Office formation:

Address

(Physical address of the certification body in Hong Kong)

Hong Kong  Kowloon  N. T.

Telephone

Fax

E-mail

Address

(for correspondence)

Hong Kong  Kowloon  N. T.

Telephone

Fax

E-mail

### Questionnaire completed by

Name:

Position:

Telephone

Fax

E-mail

### Authorized representative

Name:

Position:

Address

(if different from the correspondence address)

Telephone

Fax

E-mail

Signature

Date

## Requirements for Certification Bodies (ISO/IEC 17021 Clause 5)

### Legal Status

Please give details of the legal status of your organisation. (The organisation to which accreditation is to be granted)

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### Activities

	Yes/No	If yes, please describe
- Does your organisation conduct other activities in addition to quality / environmental management system certification / product certification*?		
- Are these “additional activities” its main activities?		
- What are the relationship of your organisation with other organisations or consultants?		

### Size of certification body in Hong Kong

- Total number of staff working for the certification body	<input type="text"/>
- Number of full time auditors	<input type="text"/>
- Number of part time/contract auditors	<input type="text"/>

\* Delete whichever is not applicable

## **Quality System**

Please provide a copy of the quality manual and related quality documents, such as operation procedure manual. Any further comments should be stated below or on separate sheet.

## **Internal Audit**

Please provide a copy of the latest audit schedule. Any further comments should be stated below.

## **Management Review**

Please provide a copy of the latest management review. Any further comments should be stated below.

## **Assessment report by other Accreditation Bodies**

Please provide a copy of the latest assessment reports by other accreditation bodies and provide details of assessments conducted by these other accreditation bodies in the last 12 months.

## Personnel

**Person(s) responsible for appointing the auditor team** (Attached extra sheet if necessary)

Name :			
Position:			

**Person(s) to whom audit team leader reports** (Attached extra sheet if necessary)

Name :			
Position :			

**Person(s) responsible for reviewing the audit reports** (If different from above and attached extra sheet if necessary)

Name :			
Position :			

**Name of the committee if audit reports are reviewed/approved by committee**

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## Organisation Chart

Please provide a copy of the organisation chart of the certification body. If the certification body is a subsidiary of or controlled by a large organisation, whether local or overseas, the charts should show the position of the certification body within the parent organisation structure. The key positions with respect to the activities to be assessed should be clearly identified. Please provide the names and positions for staff members occupying key positions in the certification body as identified in the organisation charts.

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**Personnel changes (applicable only for reassessments)**

Please give details of any changes to certification body personnel relevant to the activities to be reassessed since the last assessment /reassessment.

**Audit Report**

Please provide a copy of representative audit report for each area to be accredited. These should be the certification body's audit reports on applicant organisations. Any further comments on reports should be stated below.

**Certificates and Logo**

For the activities to be assessed, what is the approximate number of certificates issued per year?

What percentage of these certificates is covered under HKCAS accreditation? (for reassessment only)

Please provide copies of representative certificates for the activities to be assessed. These should be copies of certificates issued to certified organisations.

## ANNEX 1            SCOPES OF ACCREDITATION

This list of scopes of accreditation is based on the statistical nomenclature for economic activities (NACE Rev. 1) 1994 published by the Commission of European Communities (Official Journal L 083 1993).

Area No	Description	NACE Code
1	Agriculture, fishing	A, B
2	Mining and quarrying	C
<b>3*</b>	<b>Food products, beverages and tobacco</b>	<b>DA</b>
<b>4*</b>	<b>Textiles and textile products</b>	<b>DB</b>
5	Leather and leather products	DC
<b>6*</b>	<b>Wood and wood products</b>	<b>DD</b>
7	Pulp, paper and paper products	DE 21
8	Publishing companies	DE 22.1
9	Printing companies	DE 22.2, 3
10	Manufacture of coke and refined petroleum products	DF 23.1, 2
11	Nuclear fuel	DF 23.3
<b>12*</b>	<b>Chemicals, chemical products and fibres</b>	<b>DG minus 24.4</b>
<b>13*</b>	<b>Pharmaceuticals</b>	<b>DG 24.4</b>
<b>14*</b>	<b>Rubber and plastic products</b>	<b>DH</b>
15	Non-metallic mineral products	DI minus 26.5, 6
<b>16*</b>	<b>Concrete, cement, lime, plaster etc</b>	<b>DI 26.5, 6</b>
<b>17*</b>	<b>Basic metals and fabricated metal products</b>	<b>DJ</b>
<b>18*</b>	<b>Machinery and equipment</b>	<b>DK</b>
<b>19*</b>	<b>Electrical and optical equipment</b>	<b>DL</b>
20	Shipbuilding	DM 35.1
21	Aerospace	DM 35.3
22	Other transport equipment	DM 34, 35.2, 4, 5
<b>23*</b>	<b>Manufacturing not elsewhere classified</b>	<b>DN 36</b>
24	Recycling	DN 37
<b>25*</b>	<b>Electricity supply</b>	<b>E 40.1</b>
26	Gas supply	E 40.2
27	Water supply	E 41, 40.3
<b>28*</b>	<b>Construction</b>	<b>F</b>
<b>29*</b>	<b>Wholesale and retail trade; Repair of motor vehicles, motorcycles and personal and household goods</b>	<b>G</b>
<b>30*</b>	<b>Hotels and restaurants</b>	<b>H</b>
<b>31*</b>	<b>Transport, storage and communication</b>	<b>I</b>
<b>32*</b>	<b>Financial intermediation; real estate; renting</b>	<b>J, K 70, K 71</b>
<b>33*</b>	<b>Information technology</b>	<b>K 72</b>
<b>34*</b>	<b>Engineering services</b>	<b>K 73, 74.2</b>
<b>35*</b>	<b>Other services</b>	<b>K 74 minus K 74.2</b>
<b>36*</b>	<b>Public administration</b>	<b>L</b>
37	Education	M
<b>38*</b>	<b>Health and social work</b>	<b>N</b>
<b>39*</b>	<b>Other social services</b>	<b>O</b>

\* Area for which HKCAS accreditation is available.

# Checklist

**The applicant certification body or certification body to be assessed must complete the following checklist. It will be used to assess compliance with HKCAS requirements.**

**The checklist consists of questions based on the requirements of HKAS 002, HKCAS Supplementary Criteria No. 4 and ISO/IEC 17021. For further information, refer to the corresponding document and clause as listed in the second column.**

**The certification body should indicate in the “QM Clause” column, for every question, the clause(s) in their quality manual and operation procedures manual or other related documentation which cover the requirement.**

**The columns headed “OK” are for HKAS internal use.**

**A softcopy of this checklist should be provided to HKAS Executive through email or other means.**