Hong Kong Certification Body Accreditation Scheme

HKCAS 013

Assessment / Reassessment Questionnaire

for Product Certification (based on ISO/IEC 17065:2012)

For initial applications for accreditation and applications for extension of scope of accreditation, this questionnaire should be completed and returned to HKAS Executive together with the application form HKCAS 005 and all relevant documents as listed in the checklist on page 2. HKAS Executive will review an initial application for accreditation or an application for extension of scope upon receipt of the duly completed forms HKCAS 005, HKCAS 007 and the required application fee.
For reassessment, this completed questionnaire must be returned to HKAS Executive one month before the scheduled reassessment date accompanied by the relevant documents.

Fees payable 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

HKAS Supplementary Criteria No. 6, Code of Conduct

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

HKCAS Supplementary Criteria No. 11, HKAS Policy on Product and Management System Certification Scheme

HKCAS 023, Technical Criteria for Accreditation of Product Certification Bodies

HONG KONG ACCREDITATION SERVICE

36/F, Immigration Tower, 7 Gloucester Road, Wanchai, Hong Kong.

Tel : 2829 4840 **Fax : 2824 1302** **E-mail : hkas@itc.gov.hk**

Note: 1. The personal data provided by you will be retained and used by HKAS for accreditation purpose only. The personal data may be disclosed to members of the assessment team.
2. You have the rights to obtain a printed copy of your personal data held by HKAS and request correction of the personal data. Please contact HKAS at the above address for access to and correction of your personal data.

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 or e-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 amount when the on-site assessments have been arranged.

*Application fee can be settled by e-Cheque through "Pay e-Cheque" portal https://www.payecheque.gov.hk. Please contact us if special arrangement is required.

☐ documents authenticating that the applicant certification body is a legal entity or part of a legal entity in Hong Kong

☐ copy(ies) of valid Business Registration Certificate and Branch Registration Certificate of all sites under the same legal entity, where applicable

☐ quality manual

☐ operation procedures including documents required in the checklist of this document

☐ product certification scheme document

☐ a documented analysis on how the product certification scheme satisfies the requirements in HKCAS Supplementary Criteria No. 11.

☐ quality documentation including sample application form and sample contract agreement between the applicant certification body and its client; for others, please specify

☐ latest internal audit schedule

☐ record of the latest management review

☐ certification body organisation charts, with key positions clearly identified

☐ sample evaluation report

☐ sample licence, certificate and mark of conformity

☐ scope of accreditation to be assessed

☐ other documents, please specify

SCOPE OF ACCREDITATION

HKAS provides accreditation service to certification bodies for product groups listed in the HKCAS website. The list is reviewed from time to time.

For application for accreditation and application 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 reassessment, the "Scope of Accreditation to be Reassessed" has been sent to the certification body. The certification body should check this scope carefully. This scope should then be signed and returned to HKAS Executive together with this completed questionnaire for confirmation.

If there is any need for addition of a product certification scheme to the Scope of Accreditation, 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 application for accreditation or extension of scope of accreditation only)**

Please specify as precisely as possible below the scope of accreditation sought. The type of certification system should be described in detail in accordance with Section 5 of ISO/IEC 17067. Product standards quoted in the fourth column should normally be of national or international standards.

Type of product	Type of certification system in accordance with ISO/IEC 17067	Identification and description of the product certification scheme including certification criteria and evaluation and surveillance regime	Product Standard employed by the certification scheme

(Photocopy this sheet if required)

(1) Please state the experience of the certification body in performing the product certification in total number of products certified.

(2) Please state the number of applications received but certification is not yet granted.

Mark of conformity for certified product	**Website for listing of certified product**	**No. of products certified[1]**	**No. of applications received[2]**

(Photocopy this sheet if required)

General Information

Organisation name
(* Note 1)

Certification body name
(* Note 2)

Date of certification body formation

Physical address of certification body

Hong Kong ☐ Kowloon ☐ N. T. ☐

Telephone | Fax | E-mail

Correspondence address

Hong Kong ☐ Kowloon ☐ N. T. ☐

Telephone | Fax | E-mail

Questionnaire completed by

Name

Position

Telephone | Fax | E-mail

Authorised representative

Name

Position

Address
(if different from the correspondence address)

Telephone | Fax | E-mail

Signature | Date

* Note 1 – Organisation is the legal identity of the owner of the certification body. It may be a government department, company, person operating a certification body or other legal entity.

* Note 2 – The name used by the organisation to identity the certification body.

Requirements for Certification Bodies

Legal Status

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

Activities

	Yes/No	If yes, please describe
- Does your organisation conduct other activities in addition to product certification?		

Size of certification body

- Number of product certifications carried out by your certification body per year	
- Total number of staff working for your certification body	
- Number of full time technical staff	
- Number of part time/contract technical staff	

Requirements for Certification Bodies

Impartiality

Please describe the mechanism used by the organisation to safeguard the impartiality of the certification body.

Please identify risks to the impartiality of the certification body arise from its activities, from its relationships, or from the relationships of its personnel. If a risk to impartiality is identified, please demonstrate how it eliminates or minimizes such risk.

Liabilities arising from the operations of certification body

Please state below the arrangements to cover the liabilities arising from operations of the certification body. If the liabilities are covered under an insurance policy, please state the validity period of the policy, insured amount, the coverage and the name of the insurance company. A copy of the insurance certificate should be provided. Please provide explanation and evidence that the liabilities are adequately covered.

Financial stability and resources

Please provide evidence to demonstrate that the management of the certification body has included actions to confirm conformity with the requirements on financial stability and resources.

Requirements for Certification Bodies

Confidentiality

Please explain how the certification body protect information obtained or created during the performance of certification activities.

Personnel

Officer-in-charge of the division/unit of the certification body which performs the product certification activities to be assessed.

Name	
Position	
Qualifications	
Experience	
Date appointed to division/unit	

Person(s) responsible for evaluation of product and processes (Please attach extra sheet where necessary)

Name Position Responsibility Qualifications Experience Date appointed to division/unit			

Person(s) responsible for review of product and processes (Please attach extra sheet where necessary)

Name Position Responsibility Qualifications Experience Date appointed to division/unit			

Person(s) responsible for making certification decision (Please attach extra sheet where necessary)

Name Position Responsibility Qualifications Experience Date appointed to committee			

Organisation chart

Please provide a copy of the organisation chart of the division/unit which performs the product certification activities to be assessed. The chart should show the position of the division/unit within the organisation structure of any parent organisation. The key positions with respect to the activities to be assessed should be clearly identified. Any further comments should be given below.

Note – Please indicate in the Organisation Chart, or in other suitable means, who are full-time and who are part-time/contracted staff.

*** Please fill in the details of all committee members if a committee is responsible for the tasks.**

Other key staff

For staff members occupying key positions as identified in the organisation chart of the certification division/unit, please provide their names, positions, qualifications, experience and dates appointed.

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.

Outsourcing

If certain evaluation activities are to be outsourced, please list these activities below and the measures to ensure their quality and impartiality

Application and evaluation records

Please provide a copy of representative application form, certification agreement, evaluation records for each product certification scheme for which accreditation is sought. These records should have been obtained from real certifications including application forms, evaluation reports, surveillance activities and other documents relating to granting, maintaining, extending, suspending or withdrawing certification. For confidentiality, the identities of the clients and the products certified should be blanked out. Any further comments should be stated below.

Certification documentation and certification mark

For the activities to be assessed, what is the approximate number of certificates issued per year?	
What percentage of these certificates are HKCAS accredited? (applicable to accredited certified bodies only)	

Please provide copies of representative certificates for the certification schemes to be assessed. These certificates should have been issued for real certifications. For confidentiality, the identities of the clients and the products certified should be blanked out. The sample certificates should be those derived from the sample raw data records provided under the "Records and evaluation reports" section. Any further comments should be stated below.

Please provide a sample mark of conformity together with the binding agreement, e.g. a licence, for each certification scheme to be assessed. Any further comments should be stated below.

Management System

Please indicate the approach of the certification body in fulfilling the management system requirements of ISO/IEC 17065

☐ Option A – following the requirements in clause 8.2 to 8.8 of ISO/IEC 17065

☐ Option B – following the requirements in ISO 9001

Please provide a copy of the management system documentation. 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.

Quality System Checklist

Your certification body shall complete the following checklist which will be used to assess your certification body's conformity with HKCAS requirements.

The checklist consists of questions based on the requirements of HKAS 002, HKCAS 023, HKAS Supplementary Criteria No. 6, and HKCAS Supplementary Criteria No. 4. 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 management system documentation which cover the requirement.

The columns headed "OK" are for are for internal use of HKAS Executive.

A softcopy of this checklist should be provided to HKAS Executive by e-mail or other means.

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
GENERAL REQUIREMENTS	**4**			
Legal and contractual matters	**4.1**			
Legal responsibility	4.1.1			
Is your certification body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all your certification activities? (A governmental certification body is deemed to be a legal entity on the basis of its governmental status.)		☐		
Certification agreement	4.1.2			
Does your certification body have a legally enforceable agreement for the provision of certification activities to your clients? Certification agreements shall take into account the responsibilities of your certification body and your clients.	4.1.2.1	☐		
Does your certification body ensure your certification agreement requires that the client complies at least, with the following?	4.1.2.2	☐		
a) the client always fulfils the certification requirements (see 3.7), including implementing appropriate changes when they are communicated by the certification body (see 7.10);	4.1.2.2 a	☐		
b) if the certification applies to ongoing production, the certified product continues to fulfil the product requirements (see 3.8);	4.1.2.2 b	☐		
c) the client makes all necessary arrangements for	4.1.2.2 c	☐		
1) the conduct of the evaluation (see 3.3) and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;	4.1.2.2 c 1	☐		
2) investigation of complaints;	4.1.2.2 c 2	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
3) the participation of observers, if applicable;	4.1.2.2 c 3	☐		
d) the client makes claims regarding certification consistent with the scope of certification (see 3.10);Are the products of a supplier evaluated against those criteria outlined in specified standards?	4.1.2.2 d	☐		
e) the client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorised;	4.1.2.2 e	☐		
f) upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;	4.1.2.2 f	☐		
g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;	4.1.2.2 g	☐		
h) in making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme;	4.1.2.2 h	☐		
i) the client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product; NOTE See also ISO/IEC 17030, ISO/IEC Guide 23 and ISO Guide 27.	4.1.2.2 i	☐		
j) the client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and	4.1.2.2 j	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
1) takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;	4.1.2.2 j 1	☐		
2) documents the actions taken; NOTE Verification of item j) by the certification body can be specified in the certification scheme.	4.1.2.2 j 2	☐		
k) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements.	4.1.2.2 k	☐		
NOTE Examples of changes can include the following:				
- the legal, commercial, organisational status or ownership,		☐		
- organisation and management (e.g. key managerial, decision-making or technical staff),		☐		
- modifications to the product or the production method,		☐		
- contact address and production sites,		☐		
- major changes to the quality management system.		☐		
Use of license, certificates and marks of conformity	4.1.3	☐		
Does your certification body exercise the control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified? NOTE 1 Guidance on the use of certificates and marks permitted by the certification body can be obtained from ISO/IEC Guide 23.	4.1.3.1	☐		
NOTE 2 ISO/IEC 17030 provides requirements for the use of third-party marks.		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body deal with by suitable action any incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity? (Such actions are addressed in ISO Guide 27 and can include corrective actions, withdrawal of certificate, publication of the transgression and, if necessary, legal action.)	4.1.3.2	☐		
Management of impartiality	**4.2**			
Does your certification body undertake the certification activities impartially?	4.2.1	☐		
Is your certification body responsible for the impartiality of your certification activities? and does your certification body not allow commercial, financial or other pressures to compromise impartiality?	4.2.2	☐		
Has your certification body identified risks to your impartiality on an ongoing basis? This shall include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12). However, such relationships may not necessarily present a certification body with a risk to impartiality. NOTE 1 A relationship presenting a risk to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc. NOTE 2 Identifying risks does not imply risk assessments as stated in ISO 31000.	4.2.3	☐		
If a risk to impartiality is identified, is your certification body able to demonstrate how it eliminates or minimizes such risk? This information shall be made available to the mechanism specified in 5.2.	4.2.4	☐		
Does your certification body have top management commitment to impartiality?	4.2.5	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Is your certification body and any part of the same legal entity and entities under your organisational control (see 7.6.4) not:	4.2.6			
a) the designer, manufacturer, installer, distributer or maintainer of the certified product;	4.2.6 a	☐		
b) the designer, implementer, operator or maintainer of the certified process;	4.2.6 b	☐		
c) the designer, implementer, provider or maintainer of the certified service;	4.2.6 c	☐		
d) offering or providing consultancy (see 3.2) to your clients;	4.2.6 d	☐		
e) offering or providing management system consultancy or internal auditing to your clients where the certification scheme requires the evaluation of the client's management system. NOTE 1 This does not preclude the following: - the possibility of exchange of information (e.g. explanations of findings or clarifying requirements) between the certification body and its clients; - the use, installing and maintaining of certified products which are necessary for the operations of the certification body. NOTE 2 "Management system consultancy" is defined in ISO/IEC 17021:2011, definition 3.3.	4.2.6 e	☐		
Does your certification body ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of your certification activities? NOTE See 4.2.3, Note 1.	4.2.7	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
When the separate legal entity in 4.2.7 offers or produces the certified product (including products to be certified) or offers or provides consultancy (see 3.2), are your certification body's management personnel and personnel in the review and certification decision-making process not involved in the activities of the separate legal entity? Are the personnel of the separate legal entity not involved in the management of the certification body, the review, or the certification decision? (For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.)	4.2.8	☐		
Are your certification body's activities not marketed or offered as linked with the activities of an organisation that provides consultancy (see 3.2)? Does your certification body not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organisation were used?	4.2.9	☐		
Within a period specified by the certification body, are the personnel not used to review or make a certification decision for a product for which they have provided consultancy (see 3.2)? NOTE 1 The period can be specified in the certification scheme or, if specified by the certification body, it reflects a period that is long enough to ensure that the review or decision does not compromise impartiality. A specified period of two years is often used. NOTE 2 For the evaluation personnel, impartiality requirements are stipulated in Clause 6 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1.	4.2.10	☐		
Does your certification body take action to respond to any risks to your impartiality, arising from the actions of other persons, bodies or organisations, of which you becomes aware?	4.2.11	☐		
Do all certification body personnel (either internal or external) or committees who could influence the certification activities act impartially?	4.2.12	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Liability and financing	**4.3**			
Does your certification body have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from your operations?	4.3.1	☐		
Does your certification body have the financial stability and resources required for your operations?	4.3.2	☐		
Non-discriminatory conditions	**4.4**			
Are the policies and procedures under which your certification body operates, and the administration of them, non-discriminatory? Are procedures not used to impede or inhibit access by applicants, other than as provided for in this International Standard?	4.4.1	☐		
Does your certification body make your services accessible to all applicants whose activities fall within the scope of your operations?	4.4.2	☐		
Is access to the certification process not conditional upon the size of the client or membership of any association or group? Is certification not conditional upon the number of certifications already issued? Are there not undue financial or other conditions? (A certification body can decline to accept an application or maintain a contract for certification from a client when fundamental or demonstrated reasons exist, such as the client participating in illegal activities, having a history of repeated non-compliances with certification/product requirements, or similar client-related issues.)	4.4.3	☐		
Does your certification body confine your requirements, evaluation, review, decision and surveillance (if any) to those matters specifically related to the scope of certification?	4.4.4	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Confidentiality	**4.5**			
Is your certification body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities? Except for information that the client makes publicly available, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints), is all other information considered proprietary information and regarded as confidential? Has your certification body informed the client, in advance, of the information you intends to place in the public domain?	4.5.1	☐		
When the certification body is required by law or authorised by contractual arrangements to release confidential information, has the client or person concerned, unless prohibited by law, been notified of the information provided?	4.5.2	☐		
Have information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) been treated as confidential?	4.5.3	☐		
Publicly available information	**4.6**			
Does your certification body maintain (through publications, electronic media or other means), and make available upon request, the following?				
a) information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;	4.6 a	☐		
b) a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and to clients;	4.6 b	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
c) a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;	4.6 c	☐		
d) information about procedures for handling complaints and appeals.	4.6 d	☐		
STRUCTURAL REQUIREMENTS	**5**			
Organisational structure and top management	**5.1**			
Are certification activities structured and managed so as to safeguard impartiality?	5.1.1	☐		
Has your certification body documented your organisational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees? When the certification body is a defined part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?	5.1.2	☐		
Has the management of the certification body identified the board, group of persons, or person having overall authority and responsibility for each of the following?	5.1.3			
a) development of policies relating to the operation of the certification body;	5.1.3 a	☐		
b) supervision of the implementation of the policies and procedures;	5.1.3 b	☐		
c) supervision of the finances of the certification body;	5.1.3 c	☐		
d) development of certification activities;	5.1.3 d	☐		
e) development of certification requirements;	5.1.3 e	☐		
f) evaluation (see 7.4);	5.1.3 f	☐		
g) review (see 7.5);	5.1.3 g	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
h) decisions on certification (see 7.6);	5.1.3 h	☐		
i) delegation of authority to committees or personnel, as required, to undertake defined –activities on its behalf;	5.1.3 i	☐		
j) contractual arrangements;	5.1.3 j	☐		
k) provision of adequate resources for certification activities;	5.1.3 k	☐		
l) responsiveness to complaints and appeals;	5.1.3 l	☐		
m) personnel competence requirements;	5.1.3 m	☐		
n) management system of the certification body (see Clause 8).	5.1.3 n	☐		
Does your certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see Clause 7)? Are such committees free from any commercial, financial and other pressures that might influence decisions? Does your certification body retain authority to appoint and withdraw members of such committees?	5.1.4	☐		
Mechanism for safeguarding impartiality	**5.2**			
Does your certification body have a mechanism for safeguarding your impartiality? Does the mechanism provide input on the following?	5.2.1	☐		
a) the policies and principles relating to the impartiality of its certification activities;	5.2.1 a	☐		
b) any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;	5.2.1 b	☐		
c) matters affecting impartiality and confidence in certification, including openness.	5.2.1 c	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
NOTE 1 Other tasks or duties (e.g. taking part in the decision-making process) can be assigned to the mechanism, provided these additional tasks or duties do not compromise its essential role of ensuring impartiality. NOTE 2 A possible mechanism can be a committee established by one or more certification bodies, a committee implemented by a scheme owner, a governmental authority or an equivalent party. NOTE 3 A single mechanism for several certification schemes can satisfy this requirement. NOTE 4 If the certification body also provides management systems certification, a committee that fulfils ISO/IEC 17021:2011, 6.2, can also fulfil this subclause (5.2) providing that all the requirements of 5.2 have been met.		☐		
Has the mechanism been formally documented to ensure the following?	5.2.2			
a) a balanced representation of significantly interested parties, such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate);	5.2.2 a	☐		
b) access to all the information necessary to enable it to fulfil all its functions.	5.2.2 b	☐		
If the top management of the certification body does not follow the input of this mechanism, does the mechanism have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders)? In taking appropriate action, are the confidentiality requirements of 4.5 relating to the client and certification body respected?	5.2.3	☐		
Is the input that is in conflict with the operating procedures of the certification body or other mandatory requirements not followed? Has the management documented the reasoning behind the decision to not follow the input and maintained the document for review by appropriate personnel?		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Although every interest cannot be represented in the mechanism, has your certification body identified and invited significantly interested parties? NOTE 1 Such interested parties can include clients of the certification body, customers of clients, manufacturers, suppliers, users, conformity assessment experts, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, and representatives of non-governmental organisations, including consumer organisations. It can be sufficient to have one representative of each interested party in the mechanism. NOTE 2 These interests can be limited, depending on the nature of the certification scheme.	5.2.4	☐		
RESOURCE REQUIREMENTS	**6**			
Certification body personnel	**6.1**			
General	6.1.1			
Has your certification body employed, or had access to, a sufficient number of personnel to cover your operations related to the certification schemes and to the applicable standards and other normative documents? (The personnel include those normally working for the certification body, as well as persons working under an individual contract or a formal agreement that places them within the management control and systems/procedures of the certification body (see 6.1.3).)	6.1.1.1	☐		
Are the personnel competent for the functions they perform, including making required technical judgments, defining policies and implementing them?	6.1.1.2	☐		
Does personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme?	6.1.1.3	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Management of competence for personnel involved in the certification process	6.1.2			
Does your certification body establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process (see Clause 7)?	6.1.2.1	☐		
Does the procedure require the certification body to perform the following?				
a) determine the criteria for the competence of personnel for each function in the certification process, taking into account the requirements of the schemes;	6.1.2.1 a	☐		
b) identify training needs and provide, as necessary, training programmes on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements;	6.1.2.1 b	☐		
c) demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake;	6.1.2.1 c	☐		
d) formally authorise personnel for functions in the certification process;	6.1.2.1 d	☐		
e) monitor the performance of the personnel.	6.1.2.1 e	☐		
Does your certification body maintain the following records on the personnel involved in the certification process (see Clause 7)?	6.1.2.2	☐		
a) name and address;	6.1.2.2 a	☐		
b) employer(s) and position held;	6.1.2.2 b	☐		
c) educational qualification and professional status;	6.1.2.2 c	☐		
d) experience and training;	6.1.2.2 d	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
e) the assessment of competence;	6.1.2.2 e	☐		
f) performance monitoring;	6.1.2.2 f	☐		
g) authorizations held within the certification body;	6.1.2.2 g	☐		
h) date of most recent updating of each record.	6.1.2.2 h	☐		
Contract with the personnel	6.1.3			
Does your certification body require personnel involved in the certification process to sign a contract or other document by which they commit themselves to the following?				
a) to comply with the rules defined by the certification body, including those relating to confidentiality (see 4.5) and independence from commercial and other interests;	6.1.3 a	☐		
b) to declare any prior and/or present association on their own part, or on the part of their employer, with:	6.1.3 b			
1) a supplier or designer of products, or	6.1.3 b1	☐		
2) a provider or developer of services, or	6.1.3 b2	☐		
3) an operator or developer of processes	6.1.3 b3	☐		
to the evaluation or certification of which they are to be assigned;				
c) to reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2).	6.1.3 c	☐		
Have the certification bodies used this information as input into identifying risks to impartiality raised by the activities of such personnel, or by the organisations that employ them (see 4.2.3)?		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Resources for evaluation	**6.2**			
Internal resources	6.2.1			
When a certification body performs evaluation activities, either with its internal resources or with other resources under its direct control, does it meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents? For testing, does it meet the applicable requirements of ISO/IEC 17025? For inspection, does it meet the applicable requirements of ISO/IEC 17020? And for management system auditing, does it meet the applicable requirements of ISO/IEC 17021? Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable?		☐		
NOTE Examples of reasons as to why some requirements are not applicable include the following: – expertise is available within the certification body when using the results of the evaluation activity; – the extent of control the certification body has over testing (including witnessing the testing), inspection (e.g. specifying inspection methods or parameters) or management system assessment (e.g. requiring specific details of a management system); – a particular requirement is covered in an equivalent way by this International Standard, or is not needed to give confidence in the certification decision.		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
External resources (outsourcing) Does your certification body outsource evaluation activities only to bodies that meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents? For testing, does it meet the applicable requirements of ISO/IEC 17025? For inspection, does it meet the applicable requirements of ISO/IEC 17020? And for management system auditing, does it meet the applicable requirements of ISO/IEC 17021? Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable? NOTE 1 Examples of reasons as to why some requirements are not applicable include the following: – expertise is available within the certification body when using the results of the evaluation activity; – the extent of control the certification body has over testing (including witnessing the testing), inspection (e.g. specifying inspection methods or parameters) or management system assessment (e.g. requiring specific details of a management system); – a particular requirement is covered in an equivalent way by this International Standard, or is not needed to give confidence in the certification decision. NOTE 2 This can include outsourcing to other certification bodies. Use of external personnel under contract is not outsourcing. NOTE 3 For the purposes of this International Standard, the terms “outsourcing” and “subcontracting” are considered to be synonyms.	6.2.2	☐		
Where evaluation activities are outsourced to non-independent bodies (e.g. client laboratories), does your certification body ensure that the evaluation activities are managed in a manner which provides confidence in the results, and that records are available to justify the confidence?	6.2.2.2	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Has your certification body had a legally binding contract with the body that provides the outsourced service, including provisions for confidentiality and conflict of interest as specified in 6.1.3, item c)?	6.2.2.3	☐		
Does your certification body:	6.2.2.4			
a) take responsibility for all activities outsourced to another body?	6.2.2.4 a	☐		
b) ensure that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised?	6.2.2.4 b	☐		
c) have documented policies, procedures and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities?	6.2.2.4 c	☐		
d) maintain a list of approved providers of outsourced services?	6.2.2.4 d	☐		
e) implement corrective actions for any breaches of the contract in 6.2.2.3 or other requirements in 6.2.2 of which it becomes aware?	6.2.2.4 e	☐		
f) inform the client in advance of outsourcing activities, in order to provide the client with an opportunity to object?	6.2.2.4 f	☐		
NOTE If the qualification, assessing and monitoring of the bodies that provide outsourced services are performed by other organisations (e.g. by accreditation bodies, peer assessment bodies or governmental authorities), the certification body can take this qualification and monitoring into account provided that:				
– it is provided for within the scheme requirements;				
– the scope is applicable to the work being undertaken;				
– the validity of the qualification, assessing and monitoring arrangements is verified at a periodicity determined by the certification body.				

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Process requirements	**7**			
General	**7.1**			
Does your certification body operate one or more certification scheme(s) covering your certification activities?	7.1.1	☐		
NOTE 1 The elements of such schemes can be coupled with surveillance of production, or with the assessment and surveillance of the client's management system, or both.				
NOTE 2 General guidance on the development of schemes is given in ISO/IEC 17067, in combination with ISO/IEC Guide 28 and ISO/IEC Guide 53.				
Are the requirements against which the products of a client are evaluated those contained in specified standards and other normative documents?	7.1.2	☐		
NOTE Guidance for developing normative documents suitable for this purpose is contained in ISO/IEC 17007.				
If explanations are required as to the application of these documents (see 7.1.2) for a specific certification scheme, are they formulated by relevant and impartial persons or committees, possessing the necessary technical competence, and made available by the certification body upon request?	7.1.3	☐		
Application	**7.2**			
For application, does your certification body obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme?				
NOTE 1 The following are examples of necessary information:				
– the product(s) to be certified;		☐		
– the standards and/or other normative documents for which the client is seeking certification (see 7.1.2);				

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
– the general features of the client, including its name and the address(es) of its physical location(s), significant aspects of its process and operations (if required by the relevant certification scheme), and any relevant legal obligations;		☐		
– general information concerning the client, relevant to the field of certification for which the application is made, such as the client's activities, its human and technical resources, including laboratories and/or inspection facilities, and its functions and relationship in a larger corporation, if any;		☐		
– information concerning all outsourced processes used by the client that will affect conformity to requirements; if the client has identified a legal entity/entities for producing the certified product(s) that is different from the client, then the certification body can establish appropriate contractual controls over the legal entity/entities concerned, if necessary for effective surveillance; if such contractual controls are needed, they can be established prior to providing formal certification documentation (see 7.7);		☐		
– all other information needed in accordance with the relevant certification requirements, such as information for initial evaluation and surveillance activities, e.g. the locations where the certified product(s) are produced and contact personnel at these locations.		☐		
NOTE 2 A variety of media and mechanisms can be used to collect this information at various times, including an application form. Such information gathering can be in conjunction with, or separate from, the completion of the legally binding agreement (the certification agreement) specified in 4.1.2.				
NOTE 3 Application for an extension of the certification scope could involve similar products, different locations, etc.				
Application review	**7.3**			
Does your certification body conduct a review of the information obtained (see 7.2) to ensure that the following?	7.3.1	☐		
a) the information about the client and the product is sufficient for the conduct of the certification process;	7.3.1 a	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
b) any known difference in understanding between the certification body and the client is resolved, including agreement regarding standards or other normative documents;	7.3.1 b	☐		
c) the scope of certification (see 3.10) sought is defined;	7.3.1 c	☐		
d) the means are available to perform all evaluation activities;	7.3.1 d	☐		
e) the certification body has the competence and capability to perform the certification activity.	7.3.1 e	☐		
Does your certification body have a process to identify when the client's request for certification includes	7.3.2			
– a type of product, or – a normative document, or – a certification scheme		☐		
with which the certification body has no prior experience?		☐		
NOTE Products can be considered to be of the same type when the knowledge of the requirements, characteristics and technology related to one product is sufficient to understand the requirements, characteristics and technology of another product.				
In these cases (see 7.3.2), does your certification body ensure it has the competence and capability for all the certification activities it is required to undertake, and maintain a record of the justification for the decision to undertake certification?	7.3.3	☐		
Does your certification body decline to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake?	7.3.4	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
If the certification body relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities, then does your certification body reference the existing certification(s) in your records? If requested by the client, does your certification body provide justification for omission of activities?	7.3.5	☐		
Evaluation	**7.4**			
Does your certification body have a plan for the evaluation activities to allow for the necessary arrangements to be managed? NOTE Depending on the characteristics of the certification scheme and the product requirements, the plan can be either a generic plan applicable to all activities, including evaluation of the quality management system, when applicable, or a specific one for a particular activity, or a combination of both.	7.4.1	☐		
Does your certification body assign personnel to perform each evaluation task that it undertakes with its internal resources (see 6.2.1)? NOTE Outsourced tasks are completed by personnel usually assigned by the organisation to which the task is outsourced. Such personnel are not normally assigned by the certification body.	7.4.2	☐		
Does your certification body take suitable actions to ensure all necessary information and/or documentation is made available for performing the evaluation tasks? NOTE The evaluation tasks can include activities such as design and documentation review, sampling, testing, inspection and audit.	7.4.3	☐		
Does your certification body carry out the evaluation activities that it undertakes with its internal resources (see 6.2.1) and manage outsourced resources (see 6.2.2) in accordance with the evaluation plan (see 7.4.1)? Are the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?	7.4.4	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 6.2.2 and those specified by the certification scheme? NOTE This can include work carried out under recognition agreements between certification bodies.	7.4.5	☐		
Does your certification body inform the client of all nonconformities.?	7.4.6	☐		
If one or more nonconformities have arisen, and if the client expresses interest in continuing the certification process, does your certification body provide information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected?	7.4.7	☐		
If the client agrees to completion of the additional evaluation tasks, is the process specified in 7.4 repeated to complete the additional evaluation tasks?	7.4.8	☐		
Are the results of all evaluation activities documented prior to review (see 7.5? NOTE 1 This documentation can provide an opinion as to whether product requirements (including requirements such as those for the quality management system under which the product is produced, if required by the certification scheme) have been fulfilled. NOTE 2 The certification scheme can indicate whether the evaluation is performed by the certification body, under its responsibility, or is performed prior to the application (see 7.2) for the certification process. In the latter case, the requirements of 7.4 are not applicable.	7.4.9	☐		
Review	**7.5**			
Does your certification body assign at least one person to review all information and results related to the evaluation? Is the review carried out by person(s) who have not been involved in the evaluation process?	7.5.1	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Are the recommendations for a certification decision based on the review documented, unless the review and the certification decision are completed concurrently by the same person?	7.5.2	☐		
Certification decision	**7.6**			
Is your certification body responsible for, and shall retain authority for, its decisions relating to certification?	7.6.1	☐		
Does your certification body assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information? Is the certification decision carried out by a person or group of persons [e.g. a committee (see 5.1.4)] that has not been involved in the process for evaluation (see 7.4)? NOTE The review and the certification decision can be completed concurrently by the same person or group of persons.	7.6.2	☐		
Are the person(s) [excluding members of committees (see 5.1.4)] assigned by the certification body to make a certification decision employed by, or shall be under contract with, one of the following? – the certification body (see 6.1); – an entity under the organisational control of the certification body (see 7.6.4).	7.6.3	☐		
Is your certification body's organisational control shall be one of the following?	7.6.4	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
– whole or majority ownership of another entity by the certification body; – majority participation by the certification body on the board of directors of another entity; – a documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control. NOTE For governmental certification bodies, other parts of the same government can be considered to be "linked by ownership" to the certification body.		☐		
Do the persons employed by, or under contract with, entities under organisational control fulfil the same requirements of this International Standard as persons employed by, or under contract with, the certification body?	7.6.5	☐		
Does your certification body notify the client of a decision not to grant certification, and identify the reasons for the decision? NOTE If the client expresses interest in continuing the certification process, the certification body can resume the process for evaluation from 7.4.	7.6.6	☐		
Certification documentation	**7.7**			
Does the certification body provide the client with formal certification documentation that clearly conveys, or permits identification of the following?	7.7.1	☐		
a) the name and address of the certification body;	7.7.1 a	☐		
b) the date certification is granted (the date shall not precede the date on which the certification decision was completed);	7.7.1 b	☐		
c) the name and address of the client;	7.7.1 c	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
d) the scope of certification (see 3.10);	7.7.1 d	☐		
NOTE Where the standard(s) or other normative document(s) (see 7.1.2) to which conformity is being certified include reference to other standards or normative documents, these do not need to be included in the formal certification documentation.				
e) the term or expiry date of certification, if certification expires after an established period;	7.7.1 e	☐		
f) any other information required by the certification scheme.	7.7.1 f	☐		
Does the formal certification documentation shall include the signature or other defined authorization of the person(s) of your certification body assigned such responsibility?	7.7.2	☐		
NOTE The name and title of an individual whose agreement to be responsible for certification documentation is on record at the certification body is an example of a "defined authorization" other than a signature.				
Are formal certification documentation (see 7.7) only be issued after, or concurrent with, the following?	7.7.3	☐		
a) the decision to grant or extend the scope of certification (see 7.6.1) has been made;	7.7.3 a	☐		
b) certification requirements have been fulfilled;	7.7.3 b	☐		
c) the certification agreement (see 4.1.2) has been completed/signed.	7.7.3 c	☐		
Directory of certified products	**7.8**			
Does your certification body maintain information on certified products which contains at least the following?				
a) identification of the product;	7.8 a	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
b) the standard(s) and other normative document(s) to which conformity has been certified;	7.8 b	☐		
c) identification of the client.	7.8 C	☐		
The parts of this information that need to be published or made available upon request in a directory (through publications, electronic media or other means) are stipulated by the relevant scheme(s). As a minimum, the certification body shall provide information, upon request, about the validity of a given certification. NOTE Where the certification body provides the information to a scheme, the scheme directory would satisfy this requirement.		☐		
Surveillance	**7.9**			
If surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4, does your certification body initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme? NOTE 1 ISO/IEC 17067 provides examples of surveillance activities in certification schemes. NOTE 2 The criteria and process for surveillance activities are defined by each certification scheme.	7.9.1	☐		
When surveillance utilizes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled?	7.9.2	☐		
When continuing use of a certification mark is authorised for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4) of a type which has been certified, are surveillance established and do they include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements?	7.9.3	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
When continuing use of a certification mark is authorised for a process or service, are surveillance established and do they include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements?	7.9.4	☐		
Changes affecting certification	**7.10**			
When the certification scheme introduces new or revised requirements that affect the client, does your certification body shall ensure these changes are communicated to all clients?. Does your certification body verify the implementation of the changes by its clients and take actions required by the scheme? NOTE Contractual arrangements with clients can be necessary to ensure implementation of these requirements. A model of a license agreement for the use of certification, including the aspects related to a notice of changes, as far as applicable, is given in ISO/IEC Guide 28:2004, Annex E.	7.10.1	☐		
Does your certification body consider other changes affecting certification, including changes initiated by the client, and decide upon the appropriate action? NOTE Changes affecting certification can include new information related to the fulfilment of certification requirements obtained by the certification body after certification has been established.	7.10.2	☐		
Do the actions to implement changes affecting certification include, if required, the following:	7.10.3			
– evaluation (see 7.4);		☐		
– review (see 7.5);		☐		
– decision (see 7.6);		☐		
– issuance of revised formal certification documentation (see 7.7) to extend or reduce the scope of certification;		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
– issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme).		☐		
These actions shall be completed in accordance with applicable parts of 7.4, 7.5, 7.6, 7.7 and 7.8. Records (see 7.12) shall include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes, and no evaluation, review or decision activities are necessary).		☐		
Termination, reduction, suspension or withdrawal of certification	**7.11**			
When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, does your certification body consider and decide upon the appropriate action?	7.11.1			
NOTE Appropriate action can include the following:				
a) continuation of certification under conditions specified by the certification body (e.g. increased surveillance);		☐		
b) reduction in the scope of certification to remove nonconforming product variants;		☐		
c) suspension of the certification pending remedial action by the client;		☐		
d) withdrawal of the certification.		☐		
When the appropriate action includes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6, respectively, fulfilled?	7.11.2	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
If certification is terminated (by request of the client), suspended or withdrawn, does your certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified? If a scope of certification is reduced, does your certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?	7.11.3	☐		
If certification is suspended, does your certification body assign one or more persons to formulate and communicate the following to the client?	7.11.4			
– actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme;		☐		
– any other actions required by the certification scheme.		☐		
These persons shall be competent in their knowledge and understanding of all aspects of the handling of suspended certifications (see 6.1).		☐		
Are the evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, completed in accordance with the applicable parts of 7.4, 7.5, 7.6, 7.7.3, 7.9 and 7.11.3?	7.11.5	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
If certification is reinstated after suspension, does your certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate indications exist that the product continues to be certified? If a decision to reduce the scope of certification is made as a condition of reinstatement, does your certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?.	7.11.6	☐		
Records	**7.12**			
Does your certification body retain records to demonstrate that all certification process requirements (those in this International Standard and those of the certification scheme) have been effectively fulfilled (see also 8.4)?	7.12.1	☐		
Does your certification body keep records confidential? Are the records transported, transmitted and transferred in a way that ensures confidentiality is maintained (see also 4.5)?	7.12.2	☐		
If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, are the records retained at least for the current and the previous cycle, or retained for a period defined by the certification body? NOTE In defining retention times, legal circumstances and recognition arrangements can be considered.	7.12.3	☐		
Complaints and appeals	**7.13**			
Does your certification bodyl have a documented process to receive, evaluate and make decisions on complaints and appeals?. Do you record and track complaints and appeals, as well as actions undertaken to resolve them?	7.13.1	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Upon receipt of a complaint or appeal, does your certification body confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, shall address it?	7.13.2	☐		
Does your certification body acknowledge receipt of a formal complaint or appeal?	7.13.3	☐		
Does your certification body be responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision?	7.13.4	☐		
Is the decision resolving the complaint or appeal made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal?	7.13.5	☐		
To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy (see 3.2) for a client, or been employed by a client, shall not be used by the certification body to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment. Does your certification body have provisions to meet these requirements?	7.13.6	☐		
Does your certification body, whenever possible, give formal notice of the outcome and the end of the complaint process to the complainant?	7.13.7	☐		
Does your certification body give formal notice of the outcome and the end of the appeal process to the appellant?	7.13.8	☐		
Does your certification body take any subsequent action needed to resolve the complaint or appeal?	7.13.9	☐		
8 Management system requirements				
8.1 Options				
General	8.1.1			

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body establish and maintain a management system that is capable of achieving the consistent fulfilment of the requirements of this International Standard in accordance with either Option A or Option B?		☐		
Option A	8.1.2			
The management system of the certification body shall address the following:				
– general management system documentation (e.g. manual, policies, definition of responsibilities, see 8.2);		☐		
– control of documents (see 8.3);		☐		
– control of records (see 8.4);		☐		
– management review (see 8.5);		☐		
– internal audit (see 8.6);		☐		
– corrective actions (see 8.7);		☐		
– preventive actions (see 8.8).		☐		
Option B	8.1.3			

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
A certification body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard, fulfils the management system clause requirements (see 8.2 to 8.8). Does your certification body fulfill these requirements?		☐		
NOTE Option B is included to enable a certification body which operates a management system in accordance with ISO 9001 to use that system to demonstrate fulfilment of the management system requirements in 8.2 to 8.8 of this International Standard. Option B does not require that the certification body's management system is certified to ISO 9001.				
General management system documentation (Option A)	**8.2**			
Does your certification body's top management establish, document, and maintain policies and objectives for fulfilment of this International Standard and the certification scheme and ensure the policies and objectives are acknowledged and implemented at all levels of the certification body's organisation?	8.2.1	☐		
Does your certification body's top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfilment of this International Standard?	8.2.2	☐		
Does your certification body's top management appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include the following?	8.2.3			
a) ensuring that processes and procedures needed for the management system are established, implemented and maintained;		☐		
b) reporting to top management on the performance of the management system and any need for improvement.		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard included, referenced, or linked to documentation of the management system?	8.2.4	☐		
Do all personnel involved in certification activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities?	8.2.5	☐		
Control of documents (Option A)	**8.3**			
Does your certification body establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard?	8.3.1	☐		
Does the procedures define the controls needed to:	8.3.2			
a) approve documents for adequacy prior to issue;		☐		
b) review and update (as necessary) and re-approve documents;		☐		
c) ensure that changes and the current revision status of documents are identified;		☐		
d) ensure that relevant versions of applicable documents are available at points of use;		☐		
e) ensure that documents remain legible and readily identifiable;		☐		
f) ensure that documents of external origin are identified and their distribution controlled;		☐		
g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.		☐		
NOTE Documentation can be in any form or type of medium.				

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Control of records (Option A)	**8.4**			
Does your certification body establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard?	8.4.1	☐		
Does your certification body establish procedures for retaining records (see 7.12) for a period consistent with its contractual and legal obligations? Is access to these records consistent with the confidentiality arrangements?	8.4.2	☐		
Management review (Option A)	**8.5**			
General	8.5.1	☐		
Does your certification body's top management establish procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard?	8.5.1.1	☐		
Are these reviews conducted at least once a year. or alternatively, a complete review broken up into segments completed within a 12-month time frame? Are records of reviews maintained.	8.5.1.2	☐		
Review inputs	8.5.2			
Do the input to the management review include information related to the following?				
a) results of internal and external audits;		☐		
b) feedback from clients and interested parties related to the fulfilment of this International Standard;		☐		
NOTE Interested parties can include scheme owners.				
c) feedback from the mechanism for safeguarding impartiality;		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
d) the status of preventive and corrective actions;		☐		
e) follow-up actions from previous management reviews;		☐		
f) the fulfilment of objectives;		☐		
g) changes that could affect the management system;		☐		
h) appeals and complaints.		☐		
Review outputs	8.5.3			
Do the outputs from the management review include decisions and actions related to the following?		☐		
a) improvement of the effectiveness of the management system and its processes;		☐		
b) improvement of the certification body related to the fulfilment of this International Standard;		☐		
c) resource needs.		☐		
8.6 Internal audits (Option A)				
Does your certification body establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained?	8.6.1	☐		
NOTE ISO 19011 provides guidelines for conducting internal audits.				
Does your certification body plan an audit programme, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?	8.6.2	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body normally perform internal audits at least once every 12 months, or completed within a 12-month time frame for segmented (or rolling) internal audits? Do you follow the documented decision-making process to change (reduce or restore) the frequency of internal audits or the time frame in which internal audits shall be completed? Are the changes based on the relative stability and ongoing effectiveness of the management system? Does your certification body maintain records of decisions to change the frequency of internal audits, or the time frame in which they will be completed, including the rationale for the change?.	8.6.3	☐		
Does your certification body take suitable action to ensure that:	8.6.4			
a) internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this International Standard;		☐		
b) auditors do not audit their own work;		☐		
c) personnel responsible for the area audited are informed of the outcome of the audit;		☐		
d) any actions resulting from internal audits are taken in a timely and appropriate manner;		☐		
e) any opportunities for improvement are identified.				
Corrective actions (Option A)	**8.7**			
Does your certification body establish procedures for identification and management of nonconformities in its operations?	8.7.1	☐		
Does your certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?	8.7.2	☐		
Are the corrective actions appropriate to the impact of the problems encountered?	8.7.3	☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Do the procedures for corrective actions define requirements for the following?	8.7.4			
a) identifying nonconformities (e.g. from complaints and internal audits);		☐		
b) determining the causes of nonconformity;		☐		
c) correcting nonconformities;		☐		
d) evaluating the need for actions to ensure that nonconformities do not recur;		☐		
e) determining and implementing the actions needed in a timely manner;		☐		
f) recording the results of actions taken;		☐		
g) reviewing the effectiveness of corrective actions.		☐		
Preventive actions (Option A)	**8.8**			
Does your certification body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?	8.8.1	☐		
Are the preventive actions taken appropriate to the probable impact of the potential problems?	8.8.2	☐		
Do the procedures for preventive actions define requirements for the following?	8.8.3			
a) identifying potential nonconformities and their causes;		☐		
b) evaluating the need for action to prevent the occurrence of nonconformities;		☐		
c) determining and implementing the action needed;		☐		

ISO/IEC 17065 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
d) recording the results of actions taken; e) reviewing the effectiveness of the preventive actions taken. NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.		☐ ☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<u>The obligations of an accredited or applicant organisation</u>					
After obtaining accreditation, will your certification body at all times :-	002 5.1				
(a) conform with the accreditation criteria, including accreditation regulations specified in HKAS 002 and HKCAS Supplementary Criteria No.4, technical and non-technical requirements and other conditions as specified by HKAS Executive under your terms of accreditation;	002 5.1 a		☐		
(b) represent honestly and truthfully to any person concerned that your certification body is only accredited for activities stated in your scope of accreditation;	002 5.1 b		☐		
(c) pay such fees and charges as determined by HKAS Executive;	002 5.1 c		☐		
(d) endeavour to ensure the accreditation granted by HKAS is not used in a misleading manner;	002 5.1 d		☐		
(e) be a legal entity; and	002 5.1 e		☐		
(f) conform with the Business Registration Ordinance (Cap 310)?	002 5.1 f		☐		
For any customers for which your certification body performs any accredited activity, does your certification body maintain for such activity a quality standard which is in conformity with the accreditation criteria as set by HKAS?	002 5.2		☐		
Will your certification body maintain the same quality standard at all times, no matter whether or not the HKAS accreditation symbol is used in the certificate covering the result of such activity?	002 5.2		☐		
When making any statement in relation to your certification body's accreditation status in situation where non-accredited activities are mentioned, will your certification body ensure that such a statement is accompanied by a statement indicating which activities are not accredited?	002 5.3		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body implement the following accreditation regulation :- "Upon termination of accreditation for all activities of an organisation as specified in a certificate of accreditation, the organisation shall return such certificate of accreditation to HKAS Executive forthwith."?	002 5.4		☐		
Will your certification body cooperate with HKAS Executive and its assessment teams and provide them with full support during an on-site assessment and in any other situation such as to provide all necessary information for assessment of your certification body's competence and conformity with the accreditation criteria?	002 5.5		☐		
Upon the request of HKAS Executive, will your certification body provide HKAS Executive with a copy of the documentary standard for which your certification body seeks HKAS accreditation for use during the assessment?	002 5.5		☐		
Does your certification body ensure that you will not use your accreditation status in such a manner that will bring HKAS or any of its accreditation schemes into disputes, and will not make any statement regarding your accreditation status that HKAS Executive may reasonably consider it to be misleading?	002 5.6		☐		
Does your certification body maintain complete integrity and impartiality in all circumstances?	002 5.7		☐		
Does your certification body issue and implement a pertinent code of conduct for all its directors, officers, employees and other personnel involved in your operation?	002 5.7		☐		
Will the authorised representative report any impropriety or unlawful act of your certification body or any iniquitous management and/or staff to HKAS Executive?	002 5.7		☐		
Will the authorised representative further report immediately any corrupt practice to the ICAC (or similar authority or the police when outside the jurisdiction of the HKSAR)?	002 5.7		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Will your certification body notify HKAS Executive within one calendar month if a new authorised representative has been appointed?	002 5.8		☐		
Will the authorised representative or in his absence, other responsible person of your certification body inform HKAS Executive in writing immediately of any changes or intended changes in your certification body's circumstances which may affect your conformity with relevant accreditation criteria?	002 5.9		☐		
Does your certification body implement the following HKAS regulation on confidentiality :- "An accredited organisation shall pay due regard to the confidentially of its customer's information and shall make internal rules and guidelines in order to ensure protection of its customer's information. Confidential information about a particular customer shall not be disclosed to a third party without the consent of the customer, except where the law requires such information to be so disclosed. However, an applicant organisation or an accredited organisation shall allow HKAS Executive to examine all its records which are relevant to the scope of accreditation in order to assess its competence and conformity with the relevant accreditation criteria. An applicant organisation and an accredited organisation shall obtain consent from their customers for the disclosure of any relevant information to HKAS."?	002 5.10		☐		
Does your certification body ensure that no unofficial contact with assessors, technical experts and/or AAB members will be made on any matter relating to or in connection with the assessment of any activity for the purpose of granting or maintaining accreditation?	002 5.11		☐		
Are all communications concerning your certification body's assessment made between the authorised representative or his/her representative or its chief executive or his/her representative and HKAS Executive?	002 5.11		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body have a clear policy in writing concerning the provision or receipt of advantages by your staff? Does the policy document contain a statement notifying your staff the law under Section 9 of the Prevention of Bribery Ordinance (Cap. 201)? Does your certification body further ensure that the policy is made known to all staff members?	002 5.12		☐		
Does your certification body have a policy and procedure in writing for handling and resolving complaints, disputes and appeals from your customers or other parties?	002 5.13		☐		
Does your certification body keep records of all complaints, disputes and appeals and actions taken for a minimum of 3 years and make available to HKAS Executive for inspection upon request?	002 5.13		☐		
Where a complaint, dispute or appeal received from your customers or other parties raises any doubt on your conformity with your polices or procedures, will your certification body ensure that the relevant areas of your accredited activities are promptly audited?	002 5.14		☐		
If a complaint, dispute or appeal received from your customers or other parties relating to any of your accredited activities is not satisfactorily resolved within 60 days from the date of receipt, will your certification body notify HKAS Executive in writing of this matter?	002 5.15		☐		
Is your certification body aware that any concerned party may lodge complaints with HKAS on any of your accredited activities?	002 5.16		☐		
Upon the request of HKAS Executive, an accredited organisation shall confirm the authenticity or otherwise of a report, certificate or other document purporting to have been issued by it for an accredited activity. Where such a report, certificate or document is found to be a forged document, the organisation shall cooperate with HKAS Executive in the investigation of its cause and taking mutually agreeable steps to prevent recurrence.	002 5.17		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
An accredited organisation shall not provide certification service to any other party for any standard used by HKAS as accreditation criteria. HKAS Executive will take immediate action to suspend the accreditation of an accredited organisation in violation of this requirement.	002 5.18		☐		
Use of HKAS accreditation symbols and claims of accreditation status					
Does your certification body implement the following HKAS regulation :- "An accredited organisation may use the relevant HKAS accreditation symbol as described in HKAS Supplementary Criteria No. 1 and claim its accreditation status provided that the following conditions are complied with :-	002 8.1		☐		
(a) all advertising and promotional materials (including letterheads) shall not, in the opinion of HKAS Executive, give a false or misleading impression regarding the accreditation status of the organisation;	002 8.1 a		☐		
(b) HKAS Supplementary Criteria No. 1 and requirements relevant to the accreditation scheme concerned as described in the relevant specific regulations, are complied with at all times; and	002 8.1 b		☐		
(c) any statement made by the organisation in connection with its accreditation status shall not, in the opinion of HKAS Executive, give a false or misleading impression to any third party of its accreditation status."?	002 8.1 c		☐		
Is your certification body aware of that an accredited organisation shall not allow its accreditation be used to imply that any subject of its accredited activities, for example, a product, process, system or person is approved by HKAS or HKAS Executive and shall take suitable actions to stop any incorrect reference to accreditation.	002 8.2				

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Other HKAS regulation					
Has your certification body documented the code of conduct within its management system for stating its policies on impartiality, confidentiality, professionalism, integrity, conflict of interest, and the organisation's commitment to complying with the Prevention of Bribery Ordinance (Cap 201) of Hong Kong or applicable laws and regulations of the country where the accredited organisation is located?	HKAS SC-06 2.1		☐		
Does the code of conduct cover at least the following aspects:					
(a) acceptance of advantage;	HKAS SC-06 2.2a		☐		
(b) offer of advantage;	HKAS SC-06 2.2b		☐		
(c) entertainment;	HKAS SC-06 2.2c		☐		
(d) compliance with laws of Hong Kong or of relevant jurisdictions;	HKAS SC-06 2.2d		☐		
(e) compliance with relevant requirements of applicable professional standards;	HKAS SC-06 2.2e		☐		
(f) conflict of interest;	HKAS SC-06 2.2f		☐		
(g) use of company assets;	HKAS SC-06 2.2g		☐		
(h) confidentiality of company information;	HKAS SC-06 2.2h		☐		
(i) outside employment;	HKAS SC-06 2.2i		☐		
(j) relationship with customers, suppliers and contractors;	HKAS SC-06 2.2j		☐		
(k) procedures for reporting suspected violation and established mechanism for the prompt and fair adjudication of alleged violations; and	HKAS SC-06 2.2k		☐		
(l) disciplinary actions to be taken against violations.	HKAS SC-06 2.2l		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body determine the contents of the code of conduct in accordance with its circumstances to ensure that all persons working for it act lawfully, ethically, professionally, and honestly and protect the impartiality, independence and integrity of the organisation?	HKAS SC-06 2.3		☐		
Does your certification body ensure that all its directors, staff and other personnel working for it understand and practice the code of conduct?	HKAS SC-06 3.1		☐		
Has your certification body provided training to all personnel as part of the orientation training when they join the organisation and refresher training to all members periodically thereafter?	HKAS SC-06 3.2		☐		
Does your certification body periodically remind all personnel working for it the code of conduct?	HKAS SC-06 3.3		☐		
Is the code of conduct accessible to all personnel working for the organisation?	HKAS SC-06 3.4		☐		
Is the authorised representative aware that he/she shall report any impropriety or unlawful act of the organisation or any iniquitous management and/or staff to HKAS Executive in accordance with HKAS 002 clause 5.7?	HKAS SC-06 3.5		☐		
Does your certification body periodically review the code's suitability and adequacy; and implement improvement as appropriate?	HKAS SC-06 3.6		☐		
Specific regulations for HKCAS					
An assessment team may, at its discretion, carry out an observation on your certification body while it is performing certification audits for which your certification body is accredited or seeking accreditation. Does your certification body ensure to seek consent from and explain to your customers concerning the presence of the assessment team in such certification audits?	HKCAS SC No.4 2.1		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body further assure your customers that the presence of the assessment team during the certification audits will not affect the outcome of the audits?	HKCAS SC No.4 2.1		☐		
Is your certification body aware that HKAS Executive will conduct a reassessment on the accredited activities of your certification body every three years after the accreditation has been granted?	HKCAS SC No.4 2.2		☐		
Is your certification body aware that HKAS Executive may also conduct a surveillance visit to your certification body routinely every six months and HKAS Executive has discretion to vary the period for reassessment and surveillance visit as it sees fit?	HKCAS SC No.4 2.3		☐		
Is your certification body aware that upon granting of the accreditation to your certification body for a certification system, HKAS Executive will issue a certificate of HKCAS accreditation for such certification system to your certification body?	HKCAS SC No.4 2.4		☐		
Does your certification body at all times conform with the following HKCAS accreditation criteria :- (a) HKAS 002 - Regulations for HKAS Accreditation, (b) Relevant HKCAS Supplementary Criteria, (c) Relevant HKAS Supplementary Criteria, and (d) Relevant IAF Mandatory Documents	HKCAS SC No.4 3.1		☐		
Does your certification body ensure that it shall not use its accreditation status in a way that may be interpreted by any person that any product, process, system or person certified by your certification body has been approved by HKAS or HKAS Executive? Will your certification body further endeavour to ensure that the organisations certified will implement the certified system at all time?	HKCAS SC No.4 3.2		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
If your certification body intends to subcontract any part of your accredited activities, does your certification body ensure that the subcontracted certification body is accredited for performing the activities by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS?	HKCAS SC No.4 3.4		☐		
Does your certification body notify the customer in writing of your intention to subcontract the activities, the extent of such subcontract and the name of the subcontractor?	HKCAS SC No.4 3.4		☐		
Does your certification body further ensure that your customer agrees to such arrangement?	HKCAS SC No.4 3.4		☐		
Does your certification body keep all records of such subcontracted activities?	HKCAS SC No.4 3.4		☐		
Does your certification body have enforceable arrangements with each organisation holding a HKCAS accredited certificate which commit it to allow, on request, HKAS assessment teams to witness the certification body's audit teams performing audits, including access to its premises for doing so?	HKCAS SC No.4 3.5		☐		
Does your certification body provide to HKAS a list of countries that HKAS accredited certificates have been issued by the certification body? Any change to this list is considered to be circumstances that may affect conformity with relevant accreditation criteria.	HKCAS SC No.4 3.6		☐		
Will the authorised representative of your certification body, within 14 days from the effective date of any suspension or termination (voluntarily or by HKAS Executive), inform your customers of activities for which the accreditation has been suspended or terminated in writing of such suspension or termination?	HKCAS SC No.4 4.1		☐		
Is your certification body aware that HKAS Executive may report the details of such suspension or termination in the next issue of the HKCAS Directory of Accredited Certification Bodies and the website of HKAS?	002 2.10		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Is your certification body aware that every certification body accredited under HKCAS will be awarded with a distinctive HKCAS accreditation symbol?	HKCAS SC No.4 5.1		☐		
Does your certification body implement the following HKAS regulation :- "An organisation which is certified by a certification body accredited by HKAS may use the HKCAS accreditation symbol of such certification body (subject to regulations set out in HKAS 002) to demonstrate to the public that it has been certified by a competent and impartial certification body accredited by HKAS."?	HKCAS SC No.4 5.2		☐		
Is your certification body aware that a HKAS accredited certification body may use its HKCAS accreditation symbol on its certificates, stationery, documents, publications and its advertisements, subject to the regulations set out in HKCAS SC No.4 and any other relevant requirements as specified from time to time by HKAS?	HKCAS SC No.4 5.3		☐		
Does your certification body ensure that the form, size, colour and usage of the HKCAS accreditation symbol are in accordance with the HKAS Supplementary Criteria No.1?	HKCAS SC No.4 5.4		☐		
Does your certification body use distinctly different certification marks for different certification systems (such as Product, Quality Management System) and shall avoid confusion between the meanings of its marks?	HKCAS SC No.4 5.5		☐		
Does your certification body ensure **NOT** to use the HKCAS accreditation symbol on any document unless such document relates in whole or in part to your accredited activity?	HKCAS SC No.4 5.6		☐		
Does your certification body ensure that where an organisation is certified by your certification body, such certified organisation may use the HKCAS accreditation symbol in conjunction with the certification symbol of your certification body provided that any use of the accreditation symbol is subject to the regulations set out in HKAS 002, HKAS Supplementary Criteria No.1 and any other relevant HKCAS requirements as specified from time to time by HKAS?	HKCAS SC No.4 5.7		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body ensure that organisations certified for management system will **NOT** use the certification mark on a product, product packaging or a test certificate, or in any way that may be interpreted by any person as suggesting product certification?	HKCAS SC No.4 5.8		☐		
Does your certification body ensure **NOT** to use the HKCAS accreditation symbol on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to your scope of accreditation?	HKCAS SC No.4 5.9		☐		
Does your certification body ensure that the HKCAS accreditation symbol will not be used by any of your certified organisations on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to the your scope of accreditation and to the certification scope of the organisation?	HKCAS SC No.4 5.9		☐		
Does your certification body ensure that your certified organisations will only use the HKCAS accreditation symbol together with your certification symbol in such a manner as set down in HKAS Supplementary Criteria No. 1 and any other relevant HKCAS Supplementary Criteria?	HKCAS SC No.4 5.10		☐		
Does your certification body ensure **NOT** to use the HKCAS accreditation symbol in any way that may be interpreted by any person as suggesting that HKAS Executive has certified or approved the activities of your certified organisations, or in any way which may have a misleading effect? Will your certification body also take reasonable steps to ensure that your certified organisations will not use the HKCAS accreditation symbol in such a way?	HKCAS SC No.4 5.11		☐		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body ensure that if the accreditation in relation to any activity under your scope of accreditation is suspended or terminated, your certification body will immediately cease to use and to distribute any certificate, stationery, document, publication and advertisement which bears the accreditation symbol, save for those which relate in whole or in part to activities, the accreditation of which is not terminated?	HKCAS SC No.4 5.12		☐		
If the accreditation for a certification system of your certification body is suspended or terminated, will your certification body take all steps to ensure that your certified organisations cease to use the HKCAS accreditation symbol, save for those which relate in whole or in part to certification systems, the accreditation of which is not suspended or terminated?	HKCAS SC No.4 5.13		☐		
Does your certification body ensure that application for any HKCAS service from HKAS is made in appropriate forms?	HKCAS SC No.4 6.1		☐		