



## Hong Kong Certification Body Accreditation Scheme

### HKCAS 013

#### Assessment / Reassessment Questionnaire for Product Certification

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.

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

**Fees payable for the reassessment 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 and those listed in the Appendix of HKCAS Supplementary Criteria No. 3 before completing this questionnaire:**

HKAS 002, Regulations for HKAS Accreditation

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

ISO/IEC Guide 65, General Requirements for Bodies Operating Product Certification Systems

IAF Guidance on the Application of ISO/IEC Guide 65

HKCAS Supplementary Criteria No. 2<sup>+</sup>, Accreditation of Construction Product Certification

HKCAS Supplementary Criteria No. 3<sup>+</sup>, Accreditation Programme for Consumer Product  
Certification

+ whichever is applicable

#### 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](mailto:hkas@itc.gov.hk)

The personal data collected will be used for accreditation purpose only

## Attachment Checklist

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

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

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

- latest internal audit schedule
- record of the latest management review
- certification body organisation charts, with key positions clearly identified
- sample evaluation report
- sample certificate
- sample certification mark licence
- scope of accreditation to be assessed
- other documents, please specify

## **SCOPE OF ACCREDITATION**

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

**For reassessments, the “Scope of Accreditation to be Reassessed” will have been sent to the certification body. The certification body should check this scope carefully and minor changes should be annotated on it. This scope should then be signed and returned to HKAS Executive together with this completed questionnaire for confirmation.**

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

## Scope of Accreditation Sought (for application for accreditation or extension of scope of accreditation only)

Please specify as precisely as possible below the scope of accreditation sought. The certification scheme should be described in detail in accordance with Section 6 of ISO/IEC Guide 67: 2004. Product standards quoted in the fourth column should be of national or international standards.

<b>Type of product</b>	<b>Type of certification system in accordance with ISO/IEC Guide 67</b>	<b>Identification and description of the product certification scheme including certification criteria and evaluation and surveillance regime</b>	<b>Product Standard employed by the certification scheme</b>

(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.

<b>Mark of conformity for certified product</b>	<b>Website for listing of certified product</b>	<b>No. of products certified<sup>1</sup></b>	<b>No. of applications received<sup>2</sup></b>

(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

## Authorized 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, instrumentality, company, person operating a certification body or other legal entity.

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

## Requirements for Certification Bodies (ISO/IEC Guide 65 Clause 4)

### Organisation (ISO/IEC Guide 65 Clause 4.2)

(The organisation under which accreditation is granted or sought)

#### Legal Status

Please give details of the legal status of the organisation for which accreditation is sought.

Yes/No	Please give details of the relationship between the certification body and the organisation
<ul style="list-style-type: none"> <li>- a government department</li> <li>- a statutory body</li> <li>- a private limited company</li> <li>- an unlimited company</li> <li>- a public listed company</li> <li>- a sole-proprietor organisation</li> <li>- others (please specify)</li> </ul>	

#### Activities

Yes/No	If yes, please describe
<ul style="list-style-type: none"> <li>- Does your organisation conduct other activities in addition to product certification?</li> <li>- Are these “additional activities” the main activities?</li> <li>- What are the relationship of your organisation with other organisation or consultant?</li> </ul>	

#### Size of certification body

<ul style="list-style-type: none"> <li>- Number of product certifications carried out by the certification body per year</li> </ul>	
<ul style="list-style-type: none"> <li>- Number of staff members involving in product certification</li> </ul>	
<ul style="list-style-type: none"> <li>- Number of permanent auditors and where they reside</li> </ul>	
<ul style="list-style-type: none"> <li>- Number of external/contracted auditors and where they reside</li> </ul>	

## **Requirements for Certification Bodies (ISO/IEC Guide 65 Clause 4) (cont'd)**

### **Organisation (ISO/IEC Guide 65 Clause 4.2) (cont'd)**

#### **Impartiality (4.2e)**

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

#### **Liabilities arising from the operations of certification body (4.2h)**

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 (4.2i)**

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.

#### **Integrity and undue influence (4.2m & 4.2n)**

Please provide evidence to demonstrate that the certification body together with its senior executive and staff are free from any commercial, financial and other pressures which might influence the results of the certification process.

If decision to issue or withdraw certification is taken by a committee comprising, among others, representations from one or more clients, please describe how to ensure that these representatives do not have a significant influence on decision making.

## **Requirements for Certification Bodies** (ISO/IEC Guide 65 Clause 4) (cont'd)

### **Organisation** (ISO/IEC Guide 65 Clause 4.2) (cont'd)

#### **Related bodies** (4.2o)

Please analyse and document the relationship with related bodies to determine the potential conflict of interest with the certification process and identify those bodies and activities that could, if not subject to appropriate controls, affect confidentiality, objectivity or impartiality.

### **Operations** (ISO/IEC Guide 65 Clause 4.3)

Please provide evidences that the testing and/or inspection activities included in each product certification scheme are performed in accordance with the requirements of ISO/IEC 17025 or ISO/IEC 17020 respectively.

### **Subcontracting** (ISO/IEC Guide 65 Clause 4.4)

If certain testing or inspection activities are to be subcontracted, please list these activities below and the measures to ensure their quality.

### **Quality system** (ISO/IEC Guide 65 Clause 4.5)

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

**Requirements for Certification Bodies** (ISO/IEC Guide 65 Clause 4) (cont'd)

**Internal audit** (ISO/IEC Guide 65 Clause 4.7)

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

**Management review** (ISO/IEC Guide 65 Clause 4.7)

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

**Personnel** (ISO/IEC Guide 65 Clause 5)

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

Name	<div style="border: 1px solid black; height: 20px;"></div>
Position	<div style="border: 1px solid black; height: 20px;"></div>
Qualifications	<div style="border: 1px solid black; height: 20px;"></div>
Experience	<div style="border: 1px solid black; height: 20px;"></div>
Date appointed to division/unit	<div style="border: 1px solid black; height: 20px;"></div>

**Personnel** (ISO/IEC Guide 65 Clause 5) (cont'd)

**Auditor(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 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.

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

## **Personnel (ISO/IEC Guide 65 Clause 5) (cont'd)**

### **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.

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

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

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### **Records and evaluation reports (ISO/IEC Guide 65 Clauses 4.9 and 11)**

Please provide a copy of representative 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.

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## Licences, Certificates and marks of conformity (ISO/IEC Guide 65 Clause 14)

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.

## Quality System Checklist

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

**The checklist consists of questions based on the requirements of HKAS 002, HKCAS Supplementary Criteria No. 4 and ISO/IEC Guide 65. For further information, refer to the corresponding document and clause as listed in the second column.**

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

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

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