



Hong Kong Inspection Body Accreditation Scheme

HKIAS 007

Assessment/Reassessment Questionnaire

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 HKIAS 005 and all relevant documents as listed in the checklist on page 2.

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

Fees payable for the assessments are calculated in accordance with:

HKIAS 006, Schedule of Accreditation Fees for Inspection Bodies within the Hong Kong Special Administrative Region

You should study the latest versions of the following documents before completing this questionnaire.

HKAS 002, Regulations for HKAS Accreditation

HKIAS Supplementary Criteria No. 5, Accreditation Regulations Specific for HKIAS - Inspection Body

HKIAS 003, Criteria for Accreditation of Inspection 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

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

Attachment Checklist

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

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

- Initial Assessment Extension of Scope Reassessment
- application fees (for initial applications and applications for extension of accreditation only, no application fees are charged for reassessments), in the form of a cheque payable to **The Government of the Hong Kong Special Administrative Region**. In addition to application fees, assessment fees will be charged. Applicants will be informed of the exact amounts when the on-site assessments have been arranged.
- documents authenticating that the applicant inspection body is or part of a legal entity.
- liability insurance certificate (not applicable to inspection bodies whose liability is assumed by the State in accordance with national laws)
- documents describing the conditions on which the applicant inspection body does business (not applicable to inspection bodies providing service only to its parent organisation)
- evidence that the account of the inspection body or its parent organisation for the last financial year has been independently audited.
- quality manual
- operation procedure manual
- other quality documentation; please specify
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- latest internal audit schedule
- summary of the findings of the latest quality system review
- inspection procedure manual(s)
- CV's and copies of qualification documents for new nominees for signatory approval
- CV's and copies of qualification documents for new nominees for approved inspectors
- inspection body organisation charts, with key positions clearly identified
- sample inspection records (see the explanation under the "Records" section in this questionnaire)
- sample inspection reports and inspection certificates (see the explanation under the "Inspection Reports and Inspection Certificates" section in this questionnaire)

Attachment Checklist (cont'd)

- cooperation plan and records (Please refer to clause 16 of HKIAS 003)
- completed supplementary questionnaires, if any
- other documents, please specify

- confirmed scope of accreditation
- A softcopy of the completed “Quality System Checklist” in Excel 97 Chinese format. This softcopy should be sent to HKAS Executive by email. (The blank HKIAS 007 form in Excel 97 Chinese formats may be downloaded from HKAS internet website.)

SCOPE OF ACCREDITATION

For applications for accreditation and applications for extension of scope of accreditation, the inspection activities proposed for accreditation should be detailed in the “Scope of Accreditation Sought” table on pages 5 and 6.

For reassessments, the “Scope of Accreditation to be Reassessed” should have been sent to the laboratory together with the letter informing it of the forthcoming reassessment. The laboratory should check the scope carefully and minor changes should be annotated on it. The reviewed scope should then be signed for confirmation and returned to HKAS Executive together with this completed questionnaire. If major additions to the scope of accreditation are requested, the laboratory 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)

Specify as precisely as possible below the scope of accreditation sought.

Note 1 : Please state the identification numbers of the inspection procedures for the products to be inspected as listed in column 2 on page 5.
Non-standard inspection methods and procedures shall be appropriate and fully documented.

| HKIAS inspection field | Items, materials or products inspected | Properties and characteristics inspected | Specific inspection methods and procedure ¹ |
|---------------------------|---|--|---|
| | | | |

Photocopy this sheet if required.

- Notes:
2. Please state the approximate frequency of performing the inspection activities in number/year, number/months etc.
 3. Please state the approximate experience of the inspection body in performing the inspection activities, in total number of inspection performed or in years.
 4. Please state the identification numbers of the sample inspection records provided (see the “Records” section on page 16).
 5. Please state the identification numbers of the sample inspection reports and certificates provided (see the “Inspection Reports and Inspection Certificates” section on page 16).

| Frequency of inspection ² | Experience ³ | Sample inspection record ⁴ | Sample inspection report/certificate ⁵ |
|--------------------------------------|-------------------------|---------------------------------------|---|
| | | | |

Photocopy this sheet if required.

General Information

Organisation name

(* See Note 1)

Inspection body name

(If any, e.g. Textile and Garment Inspection Division)

Date of inspection body formation

Address

(Physical address of the inspection body)

Hong Kong Kowloon N.T.

Telephone

Fax

E-mail

Address

(for correspondence)

Hong Kong Kowloon N.T.

Telephone

Fax

E-mail

Questionnaire completed by

Name

Position

Telephone

Fax

E-mail

Authorised representative

Name

(e.g. CHAN Tai Man, Philip Thomas GIBBS)

Position

Address

(if different from the correspondence address)

Telephone

Fax

E-mail

Signature

Date

* Note 1 – Organisation is the legal identity of the owners of the inspection body. It may be a Government Department, Instrumentality, Company, Person operating an inspection body or other legal entities.

General Information (cont'd)

Activities

- does the organisation conduct other activities in addition to inspection?
- are these "additional activities" the main activities?

| Yes/No | If yes, please describe |
|--------|-------------------------|
| | |

Clients

The inspection body provides service to

- the parent organisation
- the public
- others (please specify)

| Yes/No | Percentage of work |
|--------|--------------------|
| | |

Size of inspection body

- number of inspections carried out by the applicant inspection body per year
- number of staff members working for the applicant inspection body
- number of permanent inspectors and where they reside
- number of any part time inspectors and where they reside

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Administrative Requirement (HKIAS 003 Clause 3)

Legal status

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

- a government department
- a statutory body
- a private limited company
- an unlimited company
- a public listed company
- a sole proprietor
- other (please specify)

| Yes/No | Please give details of the relationship between the inspection body and the organisation |
|--------|--|
| | |

Administrative Requirement (HKIAS 003 Clause 3) (cont'd)

Liability insurance

Please state below the method adopted to protect the inspection body against potential liability. If it is 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.

Condition of doing business

Please provide a copy of the documents describing the conditions on which the applicant inspection body does business. (Not applicable to inspection bodies providing service solely to its parent organisation)
Any further comment should be stated below.

Independently audited account

Please provide evidence that the account of the inspection body or its parent organisation for the last financial year has been independently audited. Please also describe the system to ensure that the account will be independently audited.

Independence, Impartiality and Integrity (HKIAS 003 Clause 4)

General

Please explain the measures adopted by the inspection body to ensure that its personnel are free from any commercial, financial and other pressure which might affect their judgement.

Independence, Impartiality and Integrity (HKIAS 003 Clause 4) (cont'd)

Independence

Please state which type of inspection body, i.e. A, B, or C, is the applicant inspection body.
(Please refer to clause 4.2 of HKIAS 003.)

Organisation and Management (HKIAS003 Clause 6)

Technical Manager

(Please refer to clause 6.3 of HKIAS 003 for the definition of technical manager. If there is more than one technical manager for different inspections covered in the scope of accreditation, please provide their details in separate sheets.)

| | |
|------------------------------|----------------------|
| Name | <input type="text"/> |
| Position | <input type="text"/> |
| Qualification and experience | <input type="text"/> |
| Date of appointment | <input type="text"/> |

Quality Manager

(Please refer to clause 7.4 of HKIAS 003 for the definition of quality manager.)

| | |
|------------------------------|----------------------|
| Name | <input type="text"/> |
| Position | <input type="text"/> |
| Qualification and Experience | <input type="text"/> |
| Date of appointment | <input type="text"/> |

Scope and function

(Please describe the scope and function of the inspection body)

Quality System, Audit and Review (HKIAS 003 Clause 7)

Quality manual (please refer to clause 7.3 of HKIAS 003)

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 sheets.

Quality system audit (please refer to clause 7.7 of HKIAS 003)

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

Quality system review (please refer to clause 7.9 of HKIAS 003)

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

Personnel (HKIAS 003 Clause 8)

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

Name

Position

Qualifications

Experience

Date appointed to division/unit

Personnel (HKIAS 003 Clause 8) (cont'd)

Person to whom the officer-in-charge reports

Name

Position

Person(s) responsible for reviewing the inspection records, reports or certificates

(Attached extra sheets if necessary)

Name

Position

Qualifications

Experience

Date appointed
to division/unit

Organisation chart

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

Other key staff (Attached extra sheets if necessary)

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

Personnel (HKIAS 003, Clause 8) (cont'd)

Nominated HKIAS approved inspectors

Please list below the staff members to be considered by HKAS Executive as approved inspectors.
(Please refer to clause 8.2 of HKIAS 003 for requirements of approved inspectors).

| Name | Product Types | Types of Inspection | New/Existing |
|------|---------------|---------------------|--------------|
| | | | |

NOTE : please provide copies of qualification documents (degrees, diplomas, certificates, etc.) for new nominees.

Personnel changes (Applicable only for reassessments)

Please give details of any changes to the inspection body personnel relevant to the scope of accreditation to be reassessed since the last assessment/reassessment.

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Facilities and Equipment (HKIAS 003 Clause 9)

Please provide a list of reference equipment, materials and major inspection equipment for the inspection activities to be assessed. The calibration and verification schedule should also be provided. If all of these information are already included in a separate document, please attach a copy of that document.

| Description, make, model, range | Code [#] | Calibration/ verification interval | Last calibration date | Last verification date | Internal*/ External |
|---------------------------------|-------------------|--|--------------------------|---------------------------|------------------------|
| | | | | | |

* For calibrations performed internally by staff of the inspection body, the HKAS Executive may require the inspection body to provide a copy of its internal calibration procedures.

Code : RE = reference equipment RM = reference materials; IE = major inspection equipment

Inspection Methods and Procedures (HKIAS 003 Clause 10)

Inspection procedures

Please give a copy of the procedures for performing the inspection activities included in the Scope of Accreditation to be assessed. The identification numbers of the inspection procedures should be entered into the "Specific methods and inspection procedure" column in the Scope of Accreditation in page 5 against the relevant inspection activity. Any further comments should be given below.

Work order control and selection of inspection methods.

Please give a brief description of the contract or work control system and how inspection methods are selected.

Computer and automated equipment

Please describe below the extent to which computers and other types of automated equipment are used for the capture, processing, manipulation, recording, reporting, storage and retrieval of inspection data.

Handling Inspection Samples and Items (HKIAS 003 Clause 11)

Please briefly describe the sample identification practice and any special precautions taken for handling reference samples, inspected samples and items, before and after the inspection process.

Records (HKIAS 003 Clause 12)

Please provide a copy of representative raw data record for each inspection for which accreditation is sought. These records should have been obtained from real inspections. For confidentiality, the identities of the clients and the products inspected should be blanked out.

For applications for accreditation and applications for extension of scope of accreditation, the inspection body should select which sample inspection records to provide. It is not necessary to provide a separate inspection record for every inspection to be assessed. Inspections having similar record formats may be represented by a common representative inspection record. For each inspection, the identification number of the sample inspection record selected to represent it should be entered in the "Sample inspection report/certificate" column in the "Scope of Accreditation Sought" table on page 6.

For reassessments, representative inspection records are selected by HKAS Executive. The selected inspection are marked with a tick in the "Sample inspection report/certificate" column in the "Scope of Accreditation to be Reassessed" accompanying the letter informing the inspection body of the forthcoming reassessment. For identification, the inspection body should enter the identification numbers of the sample inspection records provided by the side of the ticks.

Any further comments on records should be stated below

Inspection Reports and Inspection Certificates (HKIAS 003 Clause 13)

| | Reports | Certificates |
|---|--|--|
| For the inspections to be assessed, what is the approximate number of reports and/or certificates issued per year? | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> |
| What percentage of these reports and/or certificates are HKIAS endorsed? (Applicable to accredited inspection bodies only.) | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> | <div style="border: 1px solid black; width: 150px; height: 25px;"></div> |

Please provide copies of representative reports and/or certificates for the inspections to be assessed. These inspection reports should have been issued for real inspections. For confidentiality, the identities of the clients and the products inspected should be blanked out. The sample inspection reports and/or certificates should be those derived from the sample raw data records provided under the "Record" section.

For applications for accreditation and applications for extension of scope of accreditation, the inspection body should select which sample reports to provide. It is not necessary to provide a separate sample report for every inspection. Inspections having similar report formats may be represented by a common representative report. For each inspection, the identification number of the sample report selected to represent it should be entered in the "Sample inspection report/certificate" column in the "Scope of Accreditation Sought" table on page 6.

For reassessments, sample inspection reports are selected by HKAS Executive. The selected inspections are marked with a tick in the "Sample inspection report/certificate" column in the "Scope of Accreditation to be Reassessed" accompanying the letter informing the inspection body of the forthcoming reassessment. For identification, the inspection body should enter the identification numbers of the sample inspection reports provided by the side of the ticks.

Please describe briefly how the clients are informed of inspection results

Inspection Reports and Inspection Certificates (HKIAS 003 Clause 13) (cont'd)

Any further comments on inspection reports and certificates should be stated below.

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Nominated HKIAS approved signatories

Please list below the staff members to be considered by the HKAS Executive for approval as signatories of HKIAS endorsed inspection documents. (Please refer to clause 3.5 and 5 of HKIAS Supplementary Criteria No. 5 and clause 13 of HKIAS 003 for requirements for HKIAS endorsed inspection documents and approved signatories).

| Name | Types of inspection | New/Existing |
|------|---------------------|--------------|
| | | |

NOTE : please provide copies of qualification documents (degrees, diplomas, certificates, etc.) for new nominees.

Subcontracting (HKIAS 003 Clause 14)

Please briefly describe what inspection activities will be subcontracted and how subcontractors are selected.

Cooperation (HKIAS 003 Clause 16)

Please provide a copy of the cooperation plan and records. Any further comments should be stated below.

Proficiency Testing (HKIAS Supplementary Criteria No. 5 Clause 3.4)

Please describe briefly the proficiency testing or inter-inspection-body comparison that the applicant inspection body has participated.

Quality System Checklist

The applicant inspection body or inspection body to be reassessed must complete the following checklist. It will be used to assess conformity with HKIAS requirements.

The checklist consists of questions based on the requirements of HKAS 002, HKIAS Supplementary Criteria No. 5 and HKIAS 003. For further information, please refer to the corresponding document and clause as listed in the second column.

The inspection 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 “*” and “OK” are for internal use of the HKAS Executive.

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