

HKIAS ASSESSMENT REPORT (based on HKIAS 003 4th edition)

This report is prepared by the assessment team and is addressed to the authorised representative of the inspection body

A declaration has been signed by individual members of the assessment team that they shall comply with HKAS regulations stipulated in HKAS 002, including those relating to confidentiality and independence from commercial or other interests, and shall not disclose to a third party any information provided by the inspection body in relation to its accreditation or obtained during or in connection with this assessment.

Assessment is a sampling exercise and findings given in this report relate only to those areas examined during the assessment

This assessment report is subject to review by HKAS Executive and

- any amendment will be issued within 10 working days following the assessment.
- an outcome letter to supersede *this assessment report / the part of this report in relation to the extension of scope of accreditation to a new inspection field[#]* will be issued.

Name of Inspection Body : _____

Site Address : _____

This assessment was conducted on _____ for the
 initial assessment / reassessment / extension of scope of accreditation / surveillance visit
 of the inspection body for inspections under the inspection field/fields of _____
 and assessment for adopting / maintaining[#] monitoring Plan B / C[#].

The inspection body has been approved for using the Accredited CAB Combined ILAC MRA Mark Yes No

Assessment Case ID(s): _____

Type of Inspection Body: A / B / C

please delete where appropriate

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- A. IF03 – HKIAS Assessment Report
- B. Appendix I – Scope of Activities Covered
- C. Appendix II – List of Personnel Recommended for Approval
- D. Appendix III – List of Operation Offices Assessed
- E. _____ pages of IF01 – HKIAS Observation and Action Record Form
- F. _____ pages of IF02 – HKIAS Signatory Assessment Form
- G. _____ pages of IF04 – HKIAS Inspection Assessment Form
- H. _____ pages of IF05 – HKIAS Inspector Assessment Form
- I. _____ pages of IF17 – HKIAS Monitoring Plan B/C Assessment Form

NAMES AND SIGNATURES OF ASSESSMENT TEAM MEMBERS

Team leader :	_____	Date(s) of Assessment:	_____
Member :	_____	Date(s) of Assessment:	_____
Member :	_____	Date(s) of Assessment:	_____
Member :	_____	Date(s) of Assessment:	_____
Member :	_____	Date(s) of Assessment:	_____

1. ASSESSMENT RESULTS

1.1 Overall findings

The documented management system is in general appropriate / inappropriate in assuring the quality of activities covered in this assessment. Implementation of the system is in general effective / ineffective.

Summary of assessment findings on Management Requirements :

Summary of assessment findings on Technical Requirements :

Supervision is in general adequate / inadequate in the aspects detailed in IF01.

Corrective actions are in general effective in addressing root causes of nonconformities / ineffective in the aspects detailed in IF01.

Measures to uphold the independence, impartiality and integrity of the organisation are in general effective / ineffective in the aspects detailed in IF01.

A summary of findings against the accreditation requirements is given in Section 1.2.

The activities witnessed during the assessment are indicated by ticks in Appendix I.

Other comments :

The assessment team is grateful to the management and staff for their cooperation and hospitality during the assessment.

1. ASSESSMENT RESULTS (Continued)

Areas where critical/significant nonconformities with HKIAS criteria were identified (as marked

1.2 with "X")

Management Requirements (HKIAS 003)

<input type="checkbox"/>	Impartiality and independence (Section 4.1)
<input type="checkbox"/>	Confidentiality (Section 4.2)
<input type="checkbox"/>	Administrative requirements (Section 5.1)
<input type="checkbox"/>	Organisation and management (Section 5.2)
<input type="checkbox"/>	Subcontracting (6.3)
<input type="checkbox"/>	Inspection records (Section 7.3)
<input type="checkbox"/>	Complaints and appeals (Section 7.5)
<input type="checkbox"/>	Complaints and appeals process (Section 7.6)
<input type="checkbox"/>	Management system requirements (Section 8)

Technical Requirements (HKIAS 003)

<input type="checkbox"/>	Personnel (Section 6.1)
<input type="checkbox"/>	Facilities and equipment (Section 6.2)
<input type="checkbox"/>	Inspection methods and procedures (Section 7.1)
<input type="checkbox"/>	Handling inspection items and samples (Section 7.2)
<input type="checkbox"/>	Inspection reports and inspection certificates (Section 7.4)

Other HKIAS Requirements

<input type="checkbox"/>	HKAS 002
<input type="checkbox"/>	Use of accreditation symbols and claim of accreditation status
<input type="checkbox"/>	Other relevant HKIAS/HKAS Supplementary Criteria
<input type="checkbox"/>	Mandatory requirements arising from previous assessment report / outcome letter
<input type="checkbox"/>	Check samples or audit devices (if applicable)

The inspection body shall report the inspection results to HKAS Executive on or before

Comments:

2. PERFORMANCE OF THE INSPECTION BODY FOR THE ACTIVITIES COVERED IN THIS ASSESSMENT*

1.	No. of system critical/significant nonconformities (NC)			
2.	No. of activities having critical/significant NC [a]		% of activities having no critical/significant NC	
	No. of accredited activities [b]		$[1 - (a / b)] \times 100\%$	

* Applicable to reassessments and surveillance visits only

Remarks:

3. ASSESSMENT OUTCOMES

a. Recommendation on accreditation:

- Accreditation will be
- granted for the activities listed in Appendix I (assessment) /
 - continued for the activities listed in Appendix I (reassessment) /
 - maintained (surveillance visit)

on condition that the inspection body has

notified HKAS Executive in writing of the actions taken or planned against all the identified nonconformities within **one month** of the assessment / reassessment /surveillance visit.

rectified to the satisfaction of HKAS Executive:

- (i) all *significant* nonconformities within
 - six months** of the assessment for new activities proposed for accreditation.
 - three months** of the reassessment for activities already accredited.
- (ii) all *critical* nonconformities
 - on or before** _____ or as specified in 3.b.

and has informed HKAS Executive of the same in writing, within the specified period with supporting evidence and information necessary for evaluation of the remedial actions.

- agreed to rectify all minor nonconformities prior to the next reassessment for the relevant activities.
 - obtained acceptable results for the check sample(s)/audit device(s) provided.
 - Another full assessment is required to review the granting of accreditation after HKAS Executive is satisfied that appropriate remedial actions have been taken against all critical and significant nonconformities
- The inspection body is encouraged to consider and respond to the additional recommendations, if any, given in IF01 forms.

b. Other recommendation / remark:

c. Evaluation or remedial actions

HKAS will evaluate the remedial actions through:

- reviewing the documents, evidence and other information provided by the inspection body.
- a follow-up visit in _____

c. Recommendation on personnel approval:

- Recommendations for approval for new nominee(s) are detailed in the attached IF 02 and/or IF 05 form(s)
- Approval for existing personnel is to be maintained / modified as specified in Appendix II.

- End of Report-