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HKCAS Supplementary Criteria No. 12

Accreditation Programme for Residential Care Homes (Elderly Persons) Service Providers' Management System Certification

1 Introduction

- 1.1 HKAS provides accreditation to certification bodies for certification of the management system of residential care homes (elderly persons) service providers under the Hong Kong Certification Body Accreditation Scheme (HKCAS). Application for accreditation is open to any certification body which offers third-party certification service to residential care homes (elderly persons) service providers based on a certification scheme that satisfies the criteria set out in HKCAS SC-11 and Appendix B of this document.
- 1.2 Accreditation requirements include HKAS 002, HKCAS 003: 2015, HKCAS SC-04, relevant HKAS and HKCAS Supplementary Criteria, relevant IAF requirements as specified in IAF documents including Mandatory Documents and Resolutions, relevant PAC requirements as specified in PAC documents including Technical Documents and Resolutions, and the current edition of this document which serves to clarify and interpret the accreditation requirements.
- 1.3 The normative documents listed in Appendix A form part of the accreditation requirements of this document. For dated references, only the edition cited applies. For undated references, their latest editions (including any amendments) apply.
- 1.4 HKAS operates its accreditation process in accordance with Annex AA of HKCAS 003: 2015. Applicant or accredited certification bodies should take note of the process applicable to them.
- 1.5 Details of the HKCAS accreditation for an accredited certification body are given in its current scope of accreditation. The details include identification of the certification scheme(s), a brief description of each scheme including certification criteria, evaluation and surveillance regime, and types of residential care home (elderly persons) as defined in the Residential Care Homes (Elderly Persons)

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Regulation (Chapter 459A) to which it is applicable.

- 1.6 Fees for application, assessment and other accreditation services are charged in accordance with HKCAS 006.
- 1.7 Accreditation of a certification body for a specific management system certification is an attestation that the certification body is competent in offering a third-party certification service on that management system certification for which it is accredited in accordance with the accreditation requirements.
- 1.8 An accredited certification body shall comply with the accreditation requirements at all times for maintaining accreditation. Nevertheless, accreditation is not a guarantee that an accredited certification body will carry out its accredited activities in accordance with the relevant accreditation requirements all the time. Furthermore, accreditation is not a guarantee that any organisation certified by an accredited certification body is in conformity with all certification requirements. HKAS does not endorse, sanction or approve in any way, any organisation certified by any accredited certification body. Conversely, failure to obtain certification by an accredited certification body does not imply that HKAS has refused to endorse, sanction or approve in any way the applicant organisation to be certified.

Note: Certification of a residential care homes (elderly persons) service provider's management system provides confidence in the service provider's ability to operate and manage a RCHE consistently fulfilling the requirements specified in the certification scheme. It is not a guarantee that the service provider will achieve service conformity all the time. Certification of a residential care homes (elderly persons) service provider's management system is not a certification of services delivered by the RCHE.

2 Terms and definitions

- 2.1 The term 'assessment' refers to the process in which HKAS Executive assesses the competence of a certification body while the term 'audit' refers to the process in which a certification body evaluates the conformity of a residential care home (elderly

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persons) service provider with a certification scheme.

- 2.2 The term ‘residential care home (elderly persons)’ (RCHE) refers to any premises at which more than 5 persons who have attained the age of 60 years are habitually received for the purposes of care while resident therein as defined in the Residential Care Homes (Elderly Persons) Ordinance (Chapter 459).
- 2.3 The term ‘service provider’ refers to an organisation which operates and manages a RCHE.
- 2.4 The term ‘types of residential care homes (elderly persons)’ refers to the classification of residential care homes (elderly persons) as defined in Section 3 of the Residential Care Homes (Elderly Persons) Regulation (Chapter 459A).
- 2.5 The term ‘shall’ is used throughout this document to indicate those provisions which are mandatory. The term ‘should’ is used to indicate guidance which, although not mandatory, is provided by HKAS as an acceptable means of meeting the requirements.
- 2.6 The term ‘lead auditor’ is used. It has the same meaning as the term ‘audit team leader’ which is used in HKCAS 003: 2015.

3. Resource requirements

- 3.1 An applicant or accredited certification body shall ensure that an audit team collectively have sufficient knowledge and skills for conducting the audit. It includes but not limited to the following:
- (a) knowledge of operation and certification procedures of the certification body;
 - (b) knowledge of applicable laws, regulatory requirements and code of practices to residential care homes;
 - (c) knowledge of technical and administrative aspects specified in the certification scheme;
 - (d) knowledge and skills required by the certification scheme, if any.

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Note: Examples of local applicable laws, regulatory requirements and code of practices: (1) Residential Care Homes (Elderly Persons) Ordinance (Cap. 459) and subsidiary regulations; (2) Code of practices issued by the Director of Social Welfare under Section 22(1) of the Residential Care Homes (Elderly Persons) Ordinance (Cap. 459)

- 3.2 For every audit, the audit team shall have necessary experts such as nurses, medical doctors, paramedical experts, social workers or other types of experts with expertise in RCHE.
- 3.3 If an applicant or accredited certification body uses a committee to decide granting/withdrawing of certification, it shall have documented procedures for the committee to make sound certification decisions and to ensure that the committee members are conversant with the decision criteria. It may be necessary to provide appropriate training to committee members. Performance of the committee shall be monitored.
- 3.4 Lead auditors, auditors, staff making certification decision and the personnel carrying out contract review shall be qualified through an appraisal system set up by the applicant or accredited certification body to ensure their competence in the assigned activities. The certification body shall implement a system to monitor the performance of all personnel involved in certification process. On-site performance evaluation shall be performed for every auditor/lead auditor at least once every three years.

Work instruction

- 3.5 An applicant or accredited certification body shall provide adequate and up-to-date documented work instructions to its personnel involved in certification to ensure that all activities are performed according to the requirements of a certification scheme.

4. Information requirements

- 4.1 An applicant or accredited certification body shall include all names and physical addresses of both the service provider and RCHEs covered in the scope of certification in the certification documents. When more than one RCHEs are

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covered in the scope of certification, the certification body shall issue a certificate for each RCHE. The names and physical addresses recorded in the certification documents shall be the same as those information on the licences of residential care homes issued by the Director of Social Welfare under the Residential Care Homes (Elderly Persons) Ordinance (Cap. 459).

5. Process requirements

- 5.1 An applicant or accredited certification body shall specify the information to be provided by a RCHE service provider which applies for its certification.
- 5.2 Upon receiving an application, an applicant or accredited certification body shall review and check whether sufficient information has been provided by the applicant service provider and ask for supplementary information if necessary. To ensure that essential information will not be missed out, the certification body should design an application form which lists all the information required for use by applicant service providers.
- 5.3 An applicant or accredited certification body shall carry out initial certification audit in accordance with HKCAS 003: 2015. For initial certification, the certification body shall examine the implementation of management system of a RCHE service provider in the stage 1 audit to determine whether and when the applicant service provider is ready for the stage 2 audit. The stage 2 audit shall only be conducted after the findings identified in the stage 1 audit have been adequately resolved by the applicant service provider. As in general, the applicant service provider will need some time to adequately resolve findings identified in the stage 1 audit, scheduling the stage 1 and stage 2 audits back to back is not recommended. The certification body should repeat stage 1 audit if changes to the applicant service provider's management system have rendered the information collected in the original stage 1 audit invalid.
- 5.4 An applicant or accredited certification body shall establish an audit procedure for each audit. The audit procedure shall be appropriate to the objectives and the scope of audit in accordance with requirements of a certification scheme. The certification body shall ensure that information obtained during the audit is sufficient to enable a certification decision to be made.

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- 5.5 An applicant or accredited certification body shall determine the required time and resources for each audit in accordance with Appendix C of this document. The audit duration determined by the certification body, and the justification for determination, shall be recorded.
- 5.6 An applicant or accredited certification body shall perform audits at all residential care homes to be covered in the certification. Multi-site sampling is not allowed.
- 5.7 If a certification process cannot be completed within one year after the date of the application, an accredited certification body shall terminate the certification process.

6 Management system requirements

- 6.1 An applicant or accredited certification body shall establish and maintain a management system and appropriate documented procedures covering specific elements of RCHE service providers' management system certification scheme and this document.

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Appendix A
(normative)
NORMATIVE REFERENCES

- A.1 HKAS 002, Regulations for HKAS accreditation
- A.2 HKAS SC-01, Use of HKAS accreditation symbols and claims of accreditation status
- A.3 HKAS SC-02, Nonconformities and their grading
- A.4 HKAS SC-06, Code of conduct
- A.5 HKCAS 003: 2015, Technical criteria for accreditation of management system certification bodies
- A.6 HKCAS SC-04, Accreditation regulations specific for HKCAS – certification body
- A.7 HKCAS SC-11, HKAS policy on product and management system certification schemes

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Appendix B

(normative)

HKAS POLICY ON CERTIFICATION SCHEME

- B.1 HKAS accreditation shall only be provided to certification body offering a third-party certification service on residential care homes (elderly persons) service providers' management system in respect of a certification scheme that satisfies the criteria set out in HKCAS SC-11 and this appendix.
- B.2 The certification scheme shall specify certification criteria containing the requirements for the RCHE service provider's management system. The certification criteria shall
- (a) be standard(s) published by international standard writing body(ies), e.g. ISO, etc.; or
 - (b) meet the following items:
 - (i) have been developed and maintained by a process enabling participation and technical input of the relevant interested parties such as relevant regulatory authorities, trade associations, RCHE service providers, professionals, etc.;
 - (ii) have credibility with industry, appropriate regulatory authorities and relevant professional groups;
 - (iii) are reviewed and updated at suitable intervals, if necessary; and
 - (iv) are publicly available for implementation without restriction by number or membership or other limitation.
- B.3 A certification scheme shall include relevant applicable laws, regulatory requirements and code of practices as certification criteria including Residential Care Homes (Elderly Persons) Ordinance (Chapter 459) and 16 Service Quality Standards (SQSs) of the Social Welfare Department.

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Appendix C
(normative)
AUDIT DURATION

- C.1 This appendix provides requirements on determining audit time required by a certification body for auditing a RCHE service provider's management system of various sizes and complexity.
- C.2 The audit duration will depend on a number of factors. The certification body shall have a procedure for determining the amount of time necessary, based on at least the following factors:
- (a) aspects covered in a certification scheme;
 - (b) audit time requirements of the certification schemes;
 - (c) types of services provided;
 - (d) size of homes;
 - (e) number of homes;
 - (f) time required to obtain feedback from service users;
 - (g) other relevant factors.
- C.3 The certification body shall demonstrate that in planning the audit with a RCHE service provider, it has undertaken a thorough analysis of these factors and developed appropriate approaches for collecting information including staff interviews, observations of activities, services, surrounding environment and conditions, review of documents, records checking, service users file sampling and seeking feedbacks from service users.