



Hong Kong Certification Body Accreditation Scheme

HKCAS 007

Assessment/Reassessment Questionnaire for Management System Certification Bodies

For an initial application for accreditation and an application 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 3. HKAS Executive will only process an initial application for accreditation or an application for extension of scope of accreditation when completed forms (HKCAS 005 and HKCAS 007) and the required application fee are received.

For a reassessment, the accredited management system certification body is also required to complete and submit this questionnaire together with relevant documents to HKAS Executive at least one month before the scheduled date of reassessment.

Fees payable for assessments are calculated in accordance with:

HKCAS 006 Schedule of Accreditation Fees for Certification Bodies and Validation/Verification Bodies within the Hong Kong Special Administrative Region

You should study carefully the latest version 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
ISO/IEC 17021-1	Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements (HKCAS 003: 2015)

(To be continued...)

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

- Notes:
1. Any personal data provided by your organisation will be retained and used by HKAS for accreditation purpose only. The personal data may be disclosed to members of the assessment team.
 2. The persons concerned 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 the personal data.

HKCAS 007 (cont'd)
Assessment/Reassessment Questionnaire
for Management System Certification Bodies

You should study carefully the latest version of the following documents before completing this questionnaire: (cont'd)

For energy management system (EnMS) certification,

HKCAS Supplementary Criteria No. 10 Accreditation Programme for Energy Management System (EnMS) Certification

ISO 50003 Energy management systems – Requirements for bodies providing audit and certification of energy management systems

For environmental management system (EMS) certification,

ISO/IEC TS 17021-2 or ISO/IEC 17021-2 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 2: Competence requirements for auditing and certification of environmental management systems

For food safety related management system (FSMS) certification,

HKCAS Supplementary Criteria No. 6 Accreditation Programme for Food Safety Related Management System Certification

ISO/TS 22003 Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems

For information security management system (ISMS) certification,

HKCAS Supplementary Criteria No. 8 Accreditation Programme for Information Security Management System (ISMS) Certification

ISO/IEC 27006 Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems

For occupational health and safety management system (OH&SMS) certification,

HKCAS Supplementary Criteria No. 7 Accreditation Programme for Occupational Health and Safety Management System Certification

ISO/IEC TS 17021-10 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 10: Competence requirements for auditing and certification of occupational health and safety management systems

ISO/IEC TS 17021-3 or ISO/IEC 17021-3 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems

For residential care homes (elderly persons) service providers' management system (RCHE-MS) certification,

HKCAS Supplementary Criteria No. 12 Accreditation Programme for Residential Care Homes (Elderly Persons) Service Providers' Management System Certification

For above types of management system certification in respect of a certification scheme,

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

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List of documents to be submitted

(Please tick the boxes below as appropriate)

This questionnaire is for:

- Initial Assessment Extension of Scope Reassessment

List of attachments:

- Application fee ³ in the form of a cheque or an *e-Cheque payable to **The Government of the Hong Kong Special Administrative Region**.

*Application fee can be paid by e-Cheque through 'Pay e-Cheque' portal <https://www.payecheque.gov.hk>. Please contact HKAS if special arrangement is required.

- Documents authenticating that the management system certification body is a valid legal entity or part of a valid legal entity
- Copies of valid Business Registration Certificate and Branch Registration Certificate, where applicable
- Management system manual
- Operation procedures ⁴
- Certification scheme information ⁵
- Sample application form, and sample contract agreement between the management system certification body and its client
- Latest internal audit schedule
- Record of the latest management review
- Management system certification body organisation charts ⁶, with key positions clearly identified
- List of competent auditors for certification standards and areas sought for accreditation
- Sample audit reports for certification standards and areas sought for accreditation
- Sample certificates for certification standards and areas sought for accreditation
- List of countries in which the management system certification body provides certification services
- Other documents (please specify)

(To be continued.....)

List of documents to be submitted (cont'd)

- Notes:
3. An application fee will be charged for an initial application and an application for extension of scope of accreditation. No application fee is required for a reassessment. In addition to the application fee, an on-site assessment fee will be charged. The management system certification body will be informed of the exact amount of assessment fee once the on-site assessment has been arranged.
 4. Operation procedures include documents the certification body listed in the management system checklists [refer to Annexes II(A), II(C) to II(J)] of this form, such as audit time determination procedure, procedure for determining scope of certification, procedure for using of HKAS accreditation symbol, etc..
 5. It is required only for a management system certification body offering management system certification service in respect of a certification scheme. Certification scheme information includes information as required in the management system checklist [refer to Annex II(B)] of this form. The information provided should clearly support that the management system certification scheme satisfies the relevant requirements stated in HKCAS Supplementary Criteria No. 11.
 6. The organisation chart(s) of the certification body should be provided. If the certification body is a subsidiary of or controlled by a large organisation, whether local or overseas, the charts should show the position of the certification body within the parent organisation structure. The key positions with respect to the activities to be assessed should be clearly identified. Names and positions for staff members occupying key positions in the certification body should be identified in the organisation chart(s).

SCOPE OF ACCREDITATION

For an initial application for accreditation or an application for extension of scope of accreditation, the certification activities sought for accreditation shall be detailed in Annex I – Scope of Accreditation Sought.

For a reassessment, the ‘Scope of Accreditation to be Reassessed’ will have been sent to the management system certification body. The management system certification body should check this scope carefully and minor changes should be annotated on it.

This scope should then be 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.

For any voluntary suspension or termination of certification activities from the scope of accreditation, HKAS 009 – Notification of Changes shall be completed and returned together with the confirmed ‘Scope of Accreditation to be Reassessed’ to HKAS Executive.

General Information

Organisation name ⁷

Certification body name ⁸, if any

General description of the organisation and the certification body including their major activities and history

Physical address of the 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)

Hong Kong Kowloon N. T.

Telephone Fax E-mail

Signature

Date

Notes: 7. 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.

8. The name used by the organisation to identify the certification body.

Regulations for HKAS Accreditation (HKAS 002)

The Obligations of an Applicant or Accredited Organisation (HKAS 002, Section 5)

Was there any convicted case of unlawful act related to integrity and impartiality of your organisation, management and/or staff in the past 24 months?

- No.
- Yes. Details are provided below. (Please use additional sheet if necessary)

Declaration of the Authorised Representative

I, the undersigned, declare that the information given in this questionnaire is correct to the best of my knowledge and belief.

Signature of the Authorised Representative

Date

General and Structural Requirements (ISO/IEC 17021-1: 2015, Clauses 5 and 6)

Legal status and organisational structure

Is your organisation:

- a government department?
- a statutory body?
- a company incorporated in or outside Hong Kong?
- a sole-proprietorship or partnership organisation?
- other? (please specify)

If the management system certification body is a part of the organisation, please give details of the line of authority and the relationship of other parts within the same organisation.

Other activities

Does your organisation conduct other activities in addition to management system certification?
If yes, please give details on those activities.

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Relationship with other organisations and consultants

Does your organisation have any relationship with other organisations or consultants?
If yes, please give details.

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Size of certification body

- Total number of staff working for the certification body

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- Number of full time auditors

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- Number of part time/contract auditors

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Resource Requirements (ISO/IEC 17021-1: 2015, Clause 7)

Person(s) responsible for conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time

(attach extra sheets if necessary)

Type of certification	Name	Position

Person(s) responsible for reviewing audit reports and making certification decisions

(attach extra sheets if necessary)

Type of certification	Name	Position

Committee(s) responsible for reviewing audit reports and making certification decisions, if any

(attach extra sheets if necessary)

Type of certification	Name of committee

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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Other Information

Certificates

For the certification activities to be assessed, what is the approximate number of certificates issued per year?

What percentage of these certificates is covered under HKCAS accreditation? (for reassessment only)

Assessment report by other Accreditation Bodies

Is your organisation's management system certification service accredited by other accreditation bodies?

Yes No

If yes, please specify:

Type of certification	Accreditation Body

The management system certification body may like to provide copy(ies) of the latest assessment report(s) by other accreditation bodies. HKAS will take such reports into consideration if provided.

Any other supplementary information should be provided below:

Annex I - Scope of Accreditation Sought

(For an initial application or extension of scope of accreditation application only)

Annex II – Management System Checklist Series

The management system certification body shall complete all applicable checklists listed as follows:

- Annex II(A) – Management System Checklist (for any management system certification)**
- Annex II(B) – Management System Checklist (for management system certification in respect of a certification scheme)**
- Annex II(C) – Management System Checklist (for EnMS certification)**
- Annex II(D1) – Management System Checklist [for EMS certification (based on ISO/IEC TS 17021-2: 2012)]**
- Annex II(D2) – Management System Checklist [for EMS certification (based on ISO/IEC 17021-2: 2016)]**
- Annex II(E) – Management System Checklist (for FSMS certification)**
- Annex II(F) – Management System Checklist (for ISMS certification)**
- Annex II(G1) – Management System Checklist (for OH&SMS certification to OHSAS 18001: 2007)**
- Annex II(G2) – Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]***
- Annex II(H1) – Management System Checklist [for QMS certification (based on ISO/IEC TS 17021-3: 2013)]**
- Annex II(H2) – Management System Checklist [for QMS certification (based on ISO/IEC 17021-3: 2017)]**
- Annex II(J) – Management System Checklist (for RCHE-MS certification)**

* When an accredited OH&SMS certification body applies for extension of accreditation of OH&SMS certification to ISO 45001: 2018. The certification body shall fully implement ISO/IEC TS 17021-10: 2018 for both OHSAS 18001: 2007 and ISO 45001: 2018 certification services.