



Hong Kong Certification Body Accreditation Scheme

HKCAS 021

Assessment / Reassessment Questionnaire for Validation and Verification 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 021) and the required application fee are received.

For a reassessment, the accredited validation / verification 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

You should study carefully the latest version or version cited of the following documents before completing this questionnaire:

HKAS 002

HKAS SC-06

HKCAS SC-16

ISO/IEC 17029: 2019

For Greenhouse Gas Validation and Verification,

ISO 14065: 2020

ISO 14066: 2011 / ISO 14066: 2023

ISO 14064-3: 2019

(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 in this form will be retained and used by HKAS for accreditation purpose only. The personal data may be disclosed to members of the assessment team.
 2. It is obligatory for you to provide all the personal data requested in this form. If you do not provide sufficient information, we may not be able to process the application.
 3. The data subjects have the rights to obtain a printed copy of their own personal data held by HKAS and request for correction of their personal data. Please contact HKAS at the above address for access to and correction of your personal data.

HKCAS 021 (Cont'd)

Assessment / Reassessment Questionnaire for Validation and Verification Bodies

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

For Validation and/or Verification of Greenhouse Gas Assertions/Statements at Organisation Level, and
Validation and/or Verification of Greenhouse Gas Assertions/Statements at Project Level,
HKCAS SC-09

For Validation and/or Verification of Product Greenhouse Gas (GHG) Statement,
HKCAS SC-13

For Validation and/or Verification in respect of a specific Validation and/or Verification Programme,
HKCAS SC-17

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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 ⁴ 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 validation and/or verification 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 ⁵
- Information of greenhouse gas programme, validation and/or verification programme, and/or footprint communication programme ⁶
- Sample application form, and sample contract agreement between the validation and/or verification body and its client
- Latest internal audit schedule
- Record of the latest management review
- Validation and/or verification body organisation charts ⁷, with key positions clearly identified
- List of competent validators and/or verifiers
- Sample validation and/or verification statements
- 'Code of conduct' document
- Other documents (please specify)

(to be continued.....)

List of documents to be submitted (cont'd)

- Notes:
4. 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 validation and/or verification body will be informed of the exact amount of assessment fee once the on-site assessment has been arranged.
 5. Operation procedures include documents the validation and/or verification body listed in the management system checklists [refer to Annexes II(A) to II(C)] of this form.
 6. It is required only for a greenhouse gas validation and/or verification body undertaking a third-party validation and/or verification in respect of a validation and/or verification programme which may or may not be included in a greenhouse gas programme. The programme information includes information as required in the management system checklist [refer to Annex II(D)] of this form. If a footprint communication programme is included, its information includes information as required in the management system checklist [refer to Annex II(C)] of this form. The information provided should clearly support that the programme(s) satisfy/satisfies the relevant requirements stated in HKCAS Supplementary Criteria Nos. 9, 13 and 17 as appropriate.
 7. The organisation chart(s) of the validation and/or verification body should be provided. If the validation and/or verification body is a subsidiary of or controlled by a large organisation, whether local or overseas, the charts should show the position of the validation and/or verification 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 validation and/or verification 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 validation and/or verification 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 validation and/or verification body. The validation and/or verification 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 validation and/or verification 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 validation and/or verification 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 ⁸

Validation and/or verification body name ⁹, if any

General description of the organisation and the validation and/or verification body including their major activities and history

Physical address of the validation and/or verification 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: 8. Organisation is the legal identity of the owner of the validation and/or verification body. It may be a government department, company, person operating a validation and/or verification body or other legal entity.

9. The name used by the organisation to identify the validation and/or verification 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 Requirements (ISO/IEC 17029: 2019, Clause 5)

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 validation and/or verification 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 validation and/or verification?
If yes, please give details on those activities.

Relationship with other organisations and consultants

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

Size of validation and/or verification body

- Total number of staff working for the validation and/or verification body

- Number of full time validators and/or verifiers

- Number of part time/contract validators and/or verifiers

Competencies (ISO/IEC 17029: 2019, Clause 7 and ISO 14066: 2011/2023)

Person(s) (other than validator and verifier) responsible for activities of ‘pre-engagement’ and ‘engagement’ as stated in clauses 9.2 and 9.3 of ISO/IEC 17029: 2019 respectively

(attach extra sheets if necessary)

Activity	Name	Position

Person(s) responsible for ‘undertaking review activities’ and ‘making validation/verification decision’ as stated in clauses 9.6 and 9.7 of ISO/IEC 17029: 2019 respectively

(attach extra sheets if necessary)

Name	Position

Committee(s), if any, responsible for ‘undertaking review activities’ and ‘marking validation/verification decision’ as stated in clauses 9.6 and 9.7 of ISO/IEC 17029: 2019 respectively

(attach extra sheets if necessary)

Name of committee

Personnel changes (applicable only for reassessments)

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

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Other Information

Validation and Verification Statements

For the validation and/or verification activities to be assessed, what is the approximate number of validation and/or verification statements issued per year?

What percentage of these validation and/or verification statements is covered under HKCAS accreditation? (for reassessment only)

Assessment report by other Accreditation Bodies

Is your organisation's validation and/or verification service accredited by other accreditation bodies?

Yes No

If yes, please specify:

Accreditation Body	Details

The validation and/or verification 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 greenhouse gas validation and/or verification body shall complete all applicable checklists listed as following:

- Annex II(A1) – Management System Checklist (for any Greenhouse Gas Validation and Verification) (based on ISO/IEC 17029: 2019, ISO 14065: 2020, ISO 14066: 2011 and ISO 14064-3: 2019)**
- Annex II(A2) – Management System Checklist (for any Greenhouse Gas Validation and Verification) (based on ISO/IEC 17029: 2019, ISO 14065: 2020, ISO 14066: 2023 and ISO 14064-3: 2019)**
- Annex II(B) – Management System Checklist (for Validation and/or Verification of Greenhouse Gas Statements at Organisation Level, and Validation and/or Verification of Greenhouse Gas Statements at Project Level)**
- Annex II(C) – Management System Checklist (for Validation and/or Verification of Product Greenhouse Gas (GHG) Statement)**
- Annex II(D) – Management System Checklist (for Validation and/or Verification in respect of a specific Validation and/or Verification Programme)**