



Hong Kong Certification Body Accreditation Scheme

HKCAS 013

Assessment / Reassessment Questionnaire for Product Certification (based on ISO/IEC 17065: 2012)

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 2. 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 013) and the required application fee are received.

For a reassessment, the accredited 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 assessment are calculated in accordance with HKCAS 006.

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

HKAS 002

HKAS SC-06

HKCAS SC-04

HKCAS SC-11

HKCAS 023

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 persons concerned 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 the personal data.

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 (for initial assessment and extension of scope only)⁴

- Application fee⁵ 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 certification body is a valid legal entity or part of a valid legal entity
- Copy(ies) of valid Business Registration Certificate and Branch Registration Certificate of all sites under the same legal entity, where applicable
- Certification body organisation chart(s)⁶, with names, positions and responsibilities of key personnel clearly identified
- Management system manual
- Operation procedure manuals⁷
- Latest audit schedule
- Summary of the findings of the latest management review
- Product certification scheme document
- A documented analysis on how the product certification scheme satisfies the requirements in HKCAS Supplementary Criteria No. 11
- Certification procedure manuals for each certification scheme
- Sample application form and contract agreement between the applicant certification body and its client⁸
- Sample evaluation report and associated records^{8, 9, 10}
- Sample licence, certificate and mark of conformity^{8, 10}
- Code of conduct
- Other documents (please specify)

Notes:

4. For a reassessment, the list of required documents will be provided to the organisation separately.
5. 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 certification body will be informed of the exact amount of assessment fee once the on-site assessment has been arranged.
6. Please provide a copy of the organisation chart(s) of the certification body, including the division/unit in which the certification activities to be assessed are performed. The chart should show the relationship between the certification body and its parent organisation, where applicable. The key positions with respect to the activities to be assessed should be clearly identified. Please indicate in the organisation chart, or in other suitable means, who are full-time and who are part-time/contracted staff.
7. Operation procedure manuals refer to supporting procedures of the management system manual.
8. To protect the confidentiality of the customers, the identity of the customers and the products under certification on records to be submitted should be blanked out.
9. Please provide copies of representative certificates and the associated raw evaluation records for the certification activities to be assessed. These records should preferably contain evaluation results of real products and should be recent. Please provide a copy of representative application form, certification agreement, evaluation records (including evaluation reports, surveillance activities and other documents relating to granting, maintaining, extending, suspending or withdrawing certification.) for each product certification scheme for which accreditation is sought. These records should have been obtained from real certifications and should be recent.
10. For application for accreditation and application for extension of scope of accreditation, the selection of sample records is at the discretion of the certification body. It is not necessary to provide a separate sample record for every product type under a certification scheme. Certification with similar record formats may be represented by a common sample record.

SCOPE OF ACCREDITATION

For an initial application for accreditation and an application for extension of scope of accreditation, the activities proposed for accreditation shall be detailed in HKCAS 013 Annex I – ‘Scope of Accreditation Sought’ table. If there is any need for addition of a product certification scheme to the scope of accreditation, the certification body should consult HKAS Executive on whether an application for extension of scope of accreditation should be submitted.

For a reassessment, the ‘Scope of Accreditation to be Reassessed’ should have been sent to the certification body. The certification body should check the scope carefully, mark minor changes to the scope with justification, sign to confirm the Scope of Accreditation to be reassessed and return the confirmed Scope of Accreditation to HKAS Executive together with this completed questionnaire.

For any voluntary suspension/termination of activities from the Scope of Accreditation, a copy of 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
(See Note 11)

Certification body name
(See Note 12)

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

Physical address of 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)

Telephone

Fax

E-mail

Notes:

11. The organisation's name should be the name of the legal identity that owns the certification body. It may be a government department, instrumentality, company, person operating a certification body or other legal entity.
12. 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 Requirements (ISO/IEC 17065: 2012, Section 4)

Legal Responsibility (ISO/IEC 17065: 2012, Section 4.1.1)

Please give details of the legal status of your organisation. (The organisation to which accreditation is to be granted)

Management of Impartiality (ISO/IEC 17065: 2012, Section 4.2)

Does your organisation conduct other activities in addition to product certification? If yes, please describe.

Please identify risks to the impartiality of the certification body arising from its activities, from its relationships, or from the relationships of its personnel. If a risk to impartiality is identified, please demonstrate how the certification body eliminates or minimizes such risk.

Liabilities arising from the operations of certification body (ISO/IEC 17065: 2012, Section 4.3.1)

Please state below the arrangements to cover the liabilities arising from operations of the certification body. If the liabilities are 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. Please provide explanation and evidence that the liabilities are adequately covered.

Financial stability and resources (ISO/IEC 17065: 2012, Section 4.3.2)

Please provide evidence to demonstrate that the management of the certification body has included actions to confirm conformity with the requirements on financial stability and resources.

General Requirements (cont'd) (ISO/IEC 17065: 2012, Section 4)

Confidentiality (ISO/IEC 17065: 2012, Section 4.5)

Please explain how the certification body protects information obtained or created during the performance of certification activities.

Structural Requirements (ISO/IEC 17065: 2012, Section 5)

Organisation structure (applicable to reassessment only) (ISO/IEC 17065: 2012, Section 5.1)

Please give details of any change in organisational structure of the certification body since the last assessment/reassessment. Any further comments should be given below.

Mechanism for safeguarding impartiality (ISO/IEC 17065: 2012, Section 5.2)

Please describe the mechanism used by the organisation to safeguard the impartiality of the certification body.

Resource Requirements (ISO/IEC 17065: 2012, Section 6)

Certification body personnel (ISO/IEC 17065: 2012, Section 6.1)

Size of certification body

- Number of product certifications carried out by your certification body per year
- Total number of staff working for your certification body
- Number of full time certification staff
- Number of part time/contract certification staff

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

Name

Position

Qualifications

Experience

Date appointed to division/unit

Person(s) responsible for evaluation of product and processes

(Please attach extra sheet where necessary)

Name			
Position			
Responsibility			
Qualifications			
Experience			
Date appointed to division/unit			

Resource Requirements (cont'd) (ISO/IEC 17065: 2012, Section 6)

Person(s) responsible for review of product and processes

(Please attach extra sheet where necessary)

Name			
Position			
Responsibility			
Qualifications			
Experience			
Date appointed to division/unit			

Person(s) responsible for making certification decision

(Please attach extra sheet where necessary)

Name			
Position			
Responsibility			
Qualifications			
Experience			
Date appointed to committee			

* Please fill in the details of all committee members if a committee is responsible for the tasks.

Other key staff

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

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Resource Requirements (cont'd) ISO/IEC 17065: 2012, Section 6)

Personnel changes (applicable to reassessment only)

Please give details of any change in personnel of the certification body relating to the scope of accreditation to be reassessed since the last assessment /reassessment.

Outsourcing (ISO/IEC 17065: 2012, Section 6.2.2)

If certain evaluation activities are to be outsourced, please list these activities below and the measures to ensure their quality and impartiality

Process Requirements (ISO/IEC 17065: 2012, Section 7)

Certification documentation and certification mark (ISO/IEC 17065: 2012, Section 7.7)

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

Management System Requirements (ISO/IEC 17065: 2012, Section 8)

Management System Options (ISO/IEC 17065: 2012, Section 8.1)

Please indicate the approach of the certification body in fulfilling the management system requirements of ISO/IEC 17065: 2012

- Option A – following the requirements in clause 8.2 to 8.8 of ISO/IEC 17065: 2012
- Option B – following the requirements in ISO 9001

For option B, certification to ISO 9001 is not mandatory. However, if possible, please provide a copy of the ISO 9001 certificate for reference if it is available.

Any other supplementary information should be provided below.

A large, empty rectangular box with a thin black border, intended for providing supplementary information. It occupies the majority of the page's vertical space below the instruction.

HKCAS 013 Annex I – Scope of Accreditation Sought
(For an initial application or extension of scope of accreditation application only)

HKCAS 013 Annex II - Checklist