Annex II(B)
Management System Checklist
(for management system certification
in respect of a certification scheme)

The management system certification body which provides certification service in respect of a certification scheme shall complete the following checklist, which will be used for determining if the certification scheme satisfies the criteria set out in HKCAS SC-11 (Issue No. 4; Implementation Date: 7 January 2024).

This checklist consists of questions based on the requirements of HKCAS SC-11.   For further information, please refer to the corresponding clause as listed in the second column.

The management system certification body shall indicate in the 'Supporting Document' column, for every question, the supporting document which can demonstrate that the certification scheme satisfies the criterion.

The column headed 'OK' is for internal use of HKAS Executive.

A softcopy of this completed checklist shall be provided to HKAS Executive by email or other means.

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
HKAS Policy on Management System Certification Schemes				
Does the certification scheme cover the following elements:	HKCAS SC-11 2.1			
- Selection of the object(s) of management system certification, including selecting specified requirements to be assessed and planning information collection and sampling activities;	2.1.1	☐		
- Determination, including the use of one or more determination methods (e.g. test, audit and/or examination) to develop complete information regarding fulfilment of the specified requirements by the object of management system certification or its sample;	2.1.2	☐		
- Review, decision and attestation, including the review of evidence from the determination stage. Conclusion based on the results of the review as to whether fulfilment of specified requirements has been demonstrated and a subsequent attestation that the object of management system certification has been reliably demonstrated to fulfil the specified requirements, and any subsequent marking or licensing and their related controls, where applicable; and	2.1.3	☐		
- Surveillance and recertification, as applicable, systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity?	2.1.4	☐		
Does the certification scheme include the following elements:	HKCAS SC-11 2.2			
- the objectives of the scheme for the specific industry or user group;	2.2.1	☐		
- identification of the type (i.e. management system) and the object of certification;	2.2.2	☐		
- the requirements, including any interpretations thereof, against which conformity is to be assessed (such as the certification standards, legal standards);	2.2.3	☐		

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
- the way in which the certification body establishes the conformity (such as audit method, inspection protocol, inspection instruction, test method, procedure description, etc.) and the process required. The process shall fall under the scope of one of the IAF MLA Level 3 standards without any contradictions or exclusions;	2.2.4	☐		
- any specific applications or explanations of ISO/IEC 17011, if applicable;	2.2.5	☐		
- any specific applications or explanations of accreditation standard at Level 3, i.e. ISO/IEC 17021-1, if applicable;	2.2.6	☐		
- the method used to monitor that the certificate holder continues to conform to the requirements (such as re-certification period, surveillance frequencies, contents, activities, scopes, procedure), if applicable;	2.2.7	☐		
- the statement of conformity which appears on the certification documents;	2.2.8	☐		
- the requirements, including any interpretations thereof, that apply to the certification body with regard to its organisation, mode of operation, personnel, equipment, reporting, certificates, etc?	2.2.9	☐		
Does the certification scheme meet the following criteria:	HKCAS SC-11 2.3			
- the scheme has been developed with the participation of technically competent representatives of interested parties, or has been subject to formal review by such parties;	2.3.1	☐		
- the scheme is such that it is possible to assess whether a management system is in conformity;	2.3.2	☐		
- the scheme has credibility with industry, appropriate regulatory authorities or relevant professional groups;	2.3.3	☐		
- the scheme is periodically reviewed with the involvement of representatives of interested parties as far as practicable and updated where necessary;	2.3.4	☐		
- is publicly available for application without restriction by number of membership or other limitations;	2.3.5	☐		

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
- where the scheme includes legal requirements, these shall be formulated in such a way that compliance is a condition for outcome of certification;	2.3.6	☐		
- where scheme owner authorisation is given before accreditation, which implies that the certification body can perform certification activities covered by the scheme and may have the right to use the certification mark, the scheme shall require the certification body to be accredited in a defined period of time;	2.3.7	☐		
- where the scheme provides for the use of certificates, marks or other statements of conformity, there should be a licence and/or rules or another form of enforceable agreement to control such use. Licences can include provisions relating to the ownership and use of the certificate, mark or the use of other statement of conformity in communications about the object of certification, and requirements to be fulfilled when the certification is no longer valid;	2.3.8	☐		
- if any scheme specific requirements are placed on accreditation bodies, they shall not contradict or exclude any of the requirements of ISO/IEC 17011, relevant IAF guidelines, policies and other requirements?	2.3.9	☐		
Does your certification body ensure the following requirements for the Scheme Owner (SO) are fulfilled:	HKCAS SC-11 2.4			
- The SO shall have a legally enforceable agreement with the certification bodies it authorises which, as a minimum, shall ensure that the certification bodies use the scheme as published by the SO, without any additions or reductions, and comply with SO rules for applying symbol/statement/mark, as appropriate;	2.4.1	☐		
- The SO shall make a general description of the scheme publicly available without request. The scheme documents, including the criteria and process to be used in assessing conformity, shall be publicly available;	2.4.2	☐		

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
- The SO should demonstrate that the scheme has been validated. The validation should be documented and include the following aspects:	2.4.3			
i. A description of the purpose of the scheme;	2.4.3.1	☐		
ii. A description of the requirements of the scheme;	2.4.3.2	☐		
iii. An analysis of the appropriateness of the established requirements for fulfilling the defined purpose of the scheme;	2.4.3.3	☐		
iv. A description of the methods to be used for determining fulfilment of the requirements;	2.4.3.4	☐		
v. An analysis showing that the described methods to be used for determining fulfilment of the requirements are appropriate;	2.4.3.5	☐		
vi. The decision on the conformity assessment activities to be used (including identification of the applicable conformity assessment standards); and	2.4.3.6	☐		
vii. An analysis showing that the selected conformity assessment activities are appropriate.	2.4.3.7	☐		
- In case the SO provides any clarification on the scheme to any interested party, this information shall also be available to the certification bodies and accreditation bodies;	2.4.4	☐		
- The SO shall have a procedure for dealing with complaints relating to the scheme, ensuring that complaints processes of the certification bodies' clients, the certification bodies and accreditation bodies are not affected. Investigation and decision on complaints shall not result in any discriminatory actions;	2.4.5	☐		
- An arrangement describing the relationship and the terms of cooperation between the SO and the certification bodies should be established. Any requirements for certification bodies or accreditation bodies shall be part of the scheme and not individual arrangements;	2.4.6	☐		
- If the SO monitors the certification bodies, it should consider cooperation with the accreditation bodies and have a feedback mechanism to provide information on the performance of the certification bodies to the accreditation bodies concerned;	2.4.7	☐		

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
- The SO should have a process for a periodic review of the scheme taking into account the experience gained and the feedback received from parties interested in the scheme;	2.4.8	☐		
- The SO should monitor the development and review of the standards and other normative documents, whether its own or external, which define the specified requirements used in the scheme. Where changes in the normative documents of the scheme occur the SO should have a process for making the necessary changes in the scheme, and for managing the implementation of the changes (e.g. transition period) by the certification bodies' clients and, where necessary, other parties interested in the scheme;	2.4.9	☐		
- Any changes to the scheme that affect the output of the scheme should be validated?	2.4.10	☐		
Are the requirements against which the management system assessed unambiguously specified? Are the elements described below present in the certification scheme? - Policy - Planning - Implementation and Execution - Assessment of Performance - Improvement - Management Review	HKCAS SC-11 4.2	☐		
Does your certification body conform to all the requirements of ISO/IEC 17021-1? If the certification scheme contains additional requirements to a certification body, do these requirements not deviate from the requirements of ISO/IEC 17021-1?	HKCAS SC-11 4.3	☐		
With respect to the certification audit magnitude, HKAS uses the principles as set out in relevant IAF Guidance or Mandatory documents (i.e. IAF MD 5). Is the auditing effort of the certification scheme not less extensive than indicated in these IAF documents? (The auditing effort of certification scheme that less extensive than these IAF documents will normally not be accepted for accreditation.)		☐		

Management System Checklist (for management system certification in respect of a certification scheme)

Policy for HKAS Accreditation	Clause	OK	Supporting Document	Remarks / Questions to be asked at certification body
Does the certification scheme describe the system of monitoring on certificates issued? Does the monitoring consist of surveillance and recertification audits as stipulated in Clauses 9.6.2 and 9.6.3 of ISO/IEC 17021-1?	HKCAS SC-11 4.4	☐		
Does the certification scheme describe in which manner the audit results are to be interpreted and the consequences associated with the results? This also means which nonconformities would preclude certification, or would be a cause for suspending or withdrawing the certificate shall be described.	HKCAS SC-11 4.5	☐		
Is the certificate issued based on the certification audit in line with the audit conducted? Is the certificate unambiguously describe the type of management system that was certified?	HKCAS SC-11 4.6	☐		