

Annex II(J)
Management System Checklist
(for RCHE-MS certification)

The residential care homes (elderly persons) service providers' management system (RCHE-MS) certification body shall complete the following checklist, which will be used for the assessment of the RCHE-MS certification body's conformity with HKAS and HKCAS accreditation requirements.

This checklist consists of questions based on the requirements of HKCAS SC-12. For further information, please refer to the corresponding document and clause as listed in the second column.

The RCHE-MS management system certification body shall indicate in the 'QM Clause' column, for every question, the clause(s) in its management system manual, operation procedures or other related documentation which can demonstrate the RCHE-MS management system certification body's conformity with the requirement.

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 RCHE-MS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that an audit team collectively has sufficient knowledge and skills for conducting the audit? It includes but not limited to the following:</p> <ul style="list-style-type: none"> (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. 	<p>HKCAS SC-12 3.1</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		
<p>For every audit, does your audit team have necessary experts such as nurses, medical doctors, paramedical experts, social workers or other types of experts with expertise in RCHE?</p>	<p>HKCAS SC-12 3.2</p>	<p><input type="checkbox"/></p>		
<p>If your certification body uses a committee to make certification decision, does your certification body have documented procedures for the committee to make sound certification decisions and to ensure that the committee members are conversant with the decision criteria? Does your certification body provide necessary appropriate training to committee members? Does your certification body monitor the performance of the committee?</p>	<p>HKCAS SC-12 3.3</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body qualify your lead auditors, auditors, personnel making certification decision and the personnel carrying out contract review through an appraisal system to ensure their competence in the assigned activities? Does your certification body implement a system to monitor the performance of all personnel involved in certification process? Does your certification body perform on-site performance evaluation for every auditor/lead auditor at least once every three years?</p>	<p>HKCAS SC-12 3.4</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body provide adequate and up-to-date documented work instructions to your personnel involved in certification to ensure that all activities are performed according to the requirements of a certification scheme?</p>	<p>HKCAS SC-12 3.5</p>	<p><input type="checkbox"/></p>		

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<p>Does your certification body 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 covered in the scope of certification, does your certification body issue a certificate for each RCHE? Are the names and physical addresses recorded in the certification documents the same as information on the licenses of residential care homes issued by the Director of Social Welfare under the Residential Care Homes (Elderly Persons) Ordinance (Cap. 459)?</p>	<p>HKCAS SC-12 4.1</p>	<input type="checkbox"/>		
<p>Does your certification body specify the information to be provided by a RCHE service provider which applies for its certification?</p>	<p>HKCAS SC-12 5.1</p>	<input type="checkbox"/>		
<p>Upon receiving an application, does your certification body 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, does your certification body design an application form which lists all the information required for use by applicant service providers?</p>	<p>HKCAS SC-12 5.2</p>	<input type="checkbox"/>		
<p>Does your certification body carry out initial certification audit in accordance with HKCAS 003: 2015? Does your certification body conduct the stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the applicant service provider?</p>	<p>HKCAS SC-12 5.3</p>	<input type="checkbox"/>		
<p>Does your certification body establish an audit plan for each audit which is appropriate to the objectives and the scope of audit in accordance with requirements of a certification scheme? Does your certification body ensure that information obtained during the audit is sufficient to enable a certification decision to be made?</p>	<p>HKCAS SC-12 5.4</p>	<input type="checkbox"/>		
<p>Does your certification body determine the required time and resources for each audit in accordance with Appendix B of HKCAS SC-12? Does your certification body record the audit duration determined and the justification for determination?</p>	<p>HKCAS SC-12 5.5</p>	<input type="checkbox"/>		

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Does your certification body perform audits at all residential care homes to be covered in the certification? Multi-site sampling is not allowed.	HKCAS SC-12 5.6	<input type="checkbox"/>		
If a certification process cannot be completed within one year after the date of the application, does your certification body terminate the certification process?	HKCAS SC-12 5.7	<input type="checkbox"/>		
Does your certification body establish and maintain a management system and appropriate documented procedures covering specific elements of RCHE service providers' management system certification scheme and this document?	HKCAS SC-12 6.1	<input type="checkbox"/>		
Does your certification scheme specify certification criteria containing the requirements for the RCHE service provider's management system?	HKCAS SC-12 A.2	<input type="checkbox"/>		
(a) Are the certification criteria standard(s) published by international standard writing body(ies), e.g. ISO, etc.; or		<input type="checkbox"/>		
(b) Do the certification criteria meet the following requirements:		<input type="checkbox"/>		
(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.;		<input type="checkbox"/>		
(ii) have credibility with industry, appropriate regulatory authorities and relevant professional groups;		<input type="checkbox"/>		
(iii) are reviewed and updated at suitable intervals, if necessary; and		<input type="checkbox"/>		
(iv) are publicly available for implementation without restriction by number or membership or other limitation?		<input type="checkbox"/>		
Does your certification scheme include relevant laws, regulatory requirements and codes of practice as certification criteria including Residential Care Homes (Elderly Persons) Ordinance (Chapter 459) and 16 Service Quality Standards (SQSs) of the Social Welfare Department?	HKCAS SC-12 A.3	<input type="checkbox"/>		

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<p>The audit duration will depend on a number of factors. Does your certification body have a procedure for determining the amount of time necessary, based on at least the following factors?</p> <p>(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.</p> <p>Does your certification body 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?</p>	<p>HKCAS SC-12 B.2</p> <p>HKCAS SC-12 B.3</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		