

HKCAS 013 Annex II

Checklist

The certification body shall complete the following checklist, which will be used for the assessment of the certification body's conformity with HKAS accreditation requirements.

The checklist consists of questions based on the requirements of HKAS 002, HKCAS 023, HKAS SC-06 and HKCAS SC-04. For further information, refer to the corresponding document and clause as listed in the second column.

The certification body should indicate in the "QM/Procedure Clause" column, for every question, the clause(s) in its management system documentation which can demonstrate the certification body's conformity with the requirement.

The columns headed "OK" are for internal use of HKAS Executive.

A softcopy of this completed checklist should be provided to HKAS Executive by e-mail or other means.

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>GENERAL REQUIREMENTS</p> <p>Legal and contractual matters</p> <p>Legal responsibility</p> <p>Is your certification body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all your certification activities?</p> <p>NOTE A governmental certification body is deemed to be a legal entity on the basis of its governmental status.)</p> <p>Certification agreement</p> <p>Does your certification body have a legally enforceable agreement for the provision of certification activities to your clients? Certification agreements shall take into account the responsibilities of your certification body and your clients.</p> <p>Does your certification body ensure your certification agreement requires that the client complies at least, with the following?</p> <p>a) the client always fulfils the certification requirements (see 3.7 of ISO/IEC 17065: 2012), including implementing appropriate changes when they are communicated by the certification body (see 7.10 of ISO/IEC 17065: 2012);</p> <p>b) if the certification applies to ongoing production, the certified product continues to fulfil the product requirements (see 3.8 of ISO/IEC 17065: 2012);</p> <p>c) the client makes all necessary arrangements for</p>	<p>4</p> <p>4.1</p> <p>4.1.1</p> <p>4.1.2</p> <p>4.1.2.1</p> <p>4.1.2.2</p> <p>4.1.2.2 a</p> <p>4.1.2.2 b</p> <p>4.1.2.2 c</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
1) the conduct of the evaluation (see 3.3 of ISO/IEC 17065: 2012) and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors;	4.1.2.2 c 1	<input type="checkbox"/>		
2) investigation of complaints;	4.1.2.2 c 2	<input type="checkbox"/>		
3) the participation of observers, if applicable;	4.1.2.2 c 3	<input type="checkbox"/>		
d) the client makes claims regarding certification consistent with the scope of certification (see 3.10 of ISO/IEC 17065: 2012);	4.1.2.2 d	<input type="checkbox"/>		
e) the client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorised;	4.1.2.2 e	<input type="checkbox"/>		
f) upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;	4.1.2.2 f	<input type="checkbox"/>		
g) if the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;	4.1.2.2 g	<input type="checkbox"/>		
h) in making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of the certification body or as specified by the certification scheme;	4.1.2.2 h	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
i) the client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on information related to the product; NOTE See also ISO/IEC 17030, ISO/IEC Guide 23 and ISO Guide 27.	4.1.2.2 i	<input type="checkbox"/>		
j) the client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and	4.1.2.2 j	<input type="checkbox"/>		
1) takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;	4.1.2.2 j 1	<input type="checkbox"/>		
2) documents the actions taken; NOTE Verification of item j) by the certification body can be specified in the certification scheme.	4.1.2.2 j 2	<input type="checkbox"/>		
k) the client informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements. NOTE Examples of changes can include the following:	4.1.2.2 k	<input type="checkbox"/>		
- the legal, commercial, organisational status or ownership,		<input type="checkbox"/>		
- organisation and management (e.g. key managerial, decision-making or technical staff),		<input type="checkbox"/>		
- modifications to the product or the production method,		<input type="checkbox"/>		
- contact address and production sites,		<input type="checkbox"/>		
- major changes to the quality management system.		<input type="checkbox"/>		
Use of license, certificates and marks of conformity	4.1.3	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body exercise the control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified?</p> <p>NOTE 1 Guidance on the use of certificates and marks permitted by the certification body can be obtained from ISO/IEC Guide 23.</p> <p>NOTE 2 ISO/IEC 17030 provides requirements for the use of third-party marks.</p>	4.1.3.1	<input type="checkbox"/>		
<p>Does your certification body deal with by suitable action any incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity?</p> <p>NOTE Such actions are addressed in ISO Guide 27 and can include corrective actions, withdrawal of certificate, publication of the transgression and, if necessary, legal action.</p>	4.1.3.2	<input type="checkbox"/>		
<p>Management of impartiality</p> <p>Does your certification body undertake the certification activities impartially?</p> <p>Is your certification body responsible for the impartiality of your certification activities? and does your certification body not allow commercial, financial or other pressures to compromise impartiality?</p> <p>Has your certification body identified risks to your impartiality on an ongoing basis? This shall include those risks that arise from its activities, from its relationships, or from the relationships of its personnel (see 4.2.12). However, such relationships may not necessarily present a certification body with a risk to impartiality.</p> <p>NOTE 1 A relationship presenting a risk to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.</p>	4.2			
	4.2.1	<input type="checkbox"/>		
	4.2.2	<input type="checkbox"/>		
	4.2.3	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
NOTE 2 Identifying risks does not imply risk assessments as stated in ISO 31000.				
If a risk to impartiality is identified, is your certification body able to demonstrate how it eliminates or minimizes such risk? This information shall be made available to the mechanism specified in 5.2 of ISO/IEC 17065: 2012.	4.2.4	<input type="checkbox"/>		
Does your certification body have top management commitment to impartiality?	4.2.5	<input type="checkbox"/>		
Is your certification body and any part of the same legal entity and entities under your organisational control (see 7.6.4 of ISO/IEC 17065: 2012) not:	4.2.6			
a) the designer, manufacturer, installer, distributor or maintainer of the certified product;	4.2.6 a	<input type="checkbox"/>		
b) the designer, implementer, operator or maintainer of the certified process;	4.2.6 b	<input type="checkbox"/>		
c) the designer, implementer, provider or maintainer of the certified service;	4.2.6 c	<input type="checkbox"/>		
d) offering or providing consultancy (see 3.2 of ISO/IEC 17065: 2012) to your clients;	4.2.6 d	<input type="checkbox"/>		
e) offering or providing management system consultancy or internal auditing to your clients where the certification scheme requires the evaluation of the client’s management system.	4.2.6 e	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>NOTE 1 This does not preclude the following:</p> <ul style="list-style-type: none"> - the possibility of exchange of information (e.g. explanations of findings or clarifying requirements) between the certification body and its clients; - the use, installing and maintaining of certified products which are necessary for the operations of the certification body. <p>NOTE 2 “Management system consultancy” is defined in ISO/IEC 17021:2011, definition 3.3.</p>				
<p>Does your certification body ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of your certification activities?</p>	4.2.7	<input type="checkbox"/>		
<p>NOTE See 4.2.3 of ISO/IEC 17065: 2012, Note 1.</p> <p>When the separate legal entity in 4.2.7 of ISO/IEC 17065: 2012 offers or produces the certified product (including products to be certified) or offers or provides consultancy (see 3.2 of ISO/IEC 17065: 2012), are your certification body's management personnel and personnel in the review and certification decision-making process not involved in the activities of the separate legal entity? Are the personnel of the separate legal entity not involved in the management of the certification body, the review, or the certification decision?</p>	4.2.8	<input type="checkbox"/>		
<p>NOTE For the evaluation personnel, impartiality requirements are stipulated in Clause 6 of ISO/IEC 17065: 2012 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1 of ISO/IEC 17065: 2012.</p> <p>Are your certification body's activities not marketed or offered as linked with the activities of an organisation that provides consultancy (see 3.2 of ISO/IEC 17065: 2012)? Does your certification body not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organisation were used?</p>	4.2.9	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Within a period specified by the certification body, are the personnel not used to review or make a certification decision for a product for which they have provided consultancy (see 3.2 of ISO/IEC 17065: 2012)?</p> <p>NOTE 1 The period can be specified in the certification scheme or, if specified by the certification body, it reflects a period that is long enough to ensure that the review or decision does not compromise impartiality. A specified period of two years is often used.</p> <p>NOTE 2 For the evaluation personnel, impartiality requirements are stipulated in Clause 6 of ISO/IEC 17065: 2012 and additional requirements are given in the other relevant International Standards cited in 6.2.1 and 6.2.2.1 of ISO/IEC 17065: 2012.</p>	4.2.10	<input type="checkbox"/>		
<p>Does your certification body take action to respond to any risks to your impartiality, arising from the actions of other persons, bodies or organisations, of which you become aware?</p>	4.2.11	<input type="checkbox"/>		
<p>Do all certification body personnel (either internal or external) or committees who could influence the certification activities act impartially?</p>	4.2.12	<input type="checkbox"/>		
<p>Liability and financing</p>	4.3			
<p>Does your certification body have adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from your operations?</p>	4.3.1	<input type="checkbox"/>		
<p>Does your certification body have the financial stability and resources required for your operations?</p>	4.3.2	<input type="checkbox"/>		
<p>Non-discriminatory conditions</p>	4.4			
<p>Are the policies and procedures under which your certification body operates, and the administration of them, non-discriminatory? Are procedures not used to impede or inhibit access by applicants, other than as provided for in this International Standard?</p>	4.4.1	<input type="checkbox"/>		
<p>Does your certification body make your services accessible to all applicants whose activities fall within the scope of your operations?</p>	4.4.2	<input type="checkbox"/>		

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<p>Is access to the certification process not conditional upon the size of the client or membership of any association or group? Is certification not conditional upon the number of certifications already issued? Are there not undue financial or other conditions?</p> <p>NOTE A certification body can decline to accept an application or maintain a contract for certification from a client when fundamental or demonstrated reasons exist, such as the client participating in illegal activities, having a history of repeated non-compliances with certification/product requirements, or similar client-related issues.</p> <p>Does your certification body confine your requirements, evaluation, review, decision and surveillance (if any) to those matters specifically related to the scope of certification?</p>	4.4.3	<input type="checkbox"/>		
	4.4.4	<input type="checkbox"/>		
<p>Confidentiality</p> <p>Is your certification body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities? Except for information that the client makes publicly available, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints), is all other information considered proprietary information and regarded as confidential? Has your certification body informed the client, in advance, of the information you intend to place in the public domain?</p> <p>When the certification body is required by law or authorised by contractual arrangements to release confidential information, has the client or person concerned, unless prohibited by law, been notified of the information provided?</p> <p>Have information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) been treated as confidential?</p>	4.5			
	4.5.1	<input type="checkbox"/>		
	4.5.2	<input type="checkbox"/>		
	4.5.3	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Publicly available information</p> <p>Does your certification body maintain (through publications, electronic media or other means), and make available upon request, the following?</p> <p>a) information about (or reference to) the certification scheme(s), including evaluation procedures, rules and procedures for granting, for maintaining, for extending or reducing the scope of, for suspending, for withdrawing or for refusing certification;</p> <p>b) a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and to clients;</p> <p>c) a description of the rights and duties of applicants and clients, including requirements, restrictions or limitations on the use of the certification body's name and certification mark and on the ways of referring to the certification granted;</p> <p>d) information about procedures for handling complaints and appeals.</p>	<p>4.6</p> <p>4.6 a</p> <p>4.6 b</p> <p>4.6 c</p> <p>4.6 d</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		
<p>STRUCTURAL REQUIREMENTS</p> <p>Organisational structure and top management</p> <p>Are certification activities structured and managed so as to safeguard impartiality?</p> <p>Has your certification body documented your organisational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees? When the certification body is a defined part of a legal entity, does the structure include the line of authority and the relationship to other parts within the same legal entity?</p> <p>Has the management of the certification body identified the board, group of persons, or person having overall authority and responsibility for each of the following?</p>	<p>5</p> <p>5.1</p> <p>5.1.1</p> <p>5.1.2</p> <p>5.1.3</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
a) development of policies relating to the operation of the certification body;	5.1.3 a	<input type="checkbox"/>		
b) supervision of the implementation of the policies and procedures;	5.1.3 b	<input type="checkbox"/>		
c) supervision of the finances of the certification body;	5.1.3 c	<input type="checkbox"/>		
d) development of certification activities;	5.1.3 d	<input type="checkbox"/>		
e) development of certification requirements;	5.1.3 e	<input type="checkbox"/>		
f) evaluation (see 7.4 of ISO/IEC 17065: 2012);	5.1.3 f	<input type="checkbox"/>		
g) review (see 7.5 of ISO/IEC 17065: 2012);	5.1.3 g	<input type="checkbox"/>		
h) decisions on certification (see 7.6 of ISO/IEC 17065: 2012);	5.1.3 h	<input type="checkbox"/>		
i) delegation of authority to committees or personnel, as required, to undertake defined –activities on its behalf;	5.1.3 i	<input type="checkbox"/>		
j) contractual arrangements;	5.1.3 j	<input type="checkbox"/>		
k) provision of adequate resources for certification activities;	5.1.3 k	<input type="checkbox"/>		
l) responsiveness to complaints and appeals;	5.1.3 l	<input type="checkbox"/>		
m) personnel competence requirements;	5.1.3 m	<input type="checkbox"/>		
n) management system of the certification body (see Clause 8 of ISO/IEC 17065: 2012).	5.1.3 n	<input type="checkbox"/>		
Does your certification body have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification process (see Clause 7 of ISO/IEC 17065: 2012)? Are such committees free from any commercial, financial and other pressures that might influence decisions? Does your certification body retain authority to appoint and withdraw members of such committees?	5.1.4	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Mechanism for safeguarding impartiality</p> <p>Does your certification body have a mechanism for safeguarding your impartiality? Does the mechanism provide input on the following?</p> <p>a) the policies and principles relating to the impartiality of its certification activities;</p> <p>b) any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities;</p> <p>c) matters affecting impartiality and confidence in certification, including openness.</p> <p>NOTE 1 Other tasks or duties (e.g. taking part in the decision-making process) can be assigned to the mechanism, provided these additional tasks or duties do not compromise its essential role of ensuring impartiality.</p> <p>NOTE 2 A possible mechanism can be a committee established by one or more certification bodies, a committee implemented by a scheme owner, a governmental authority or an equivalent party.</p> <p>NOTE 3 A single mechanism for several certification schemes can satisfy this requirement.</p> <p>NOTE 4 If the certification body also provides management systems certification, a committee that fulfils ISO/IEC 17021:2011, 6.2, can also fulfil this subclause (5.2 of ISO/IEC 17065: 2012) providing that all the requirements of 5.2 of ISO/IEC 17065: 2012 have been met.</p> <p>Has the mechanism been formally documented to ensure the following?</p> <p>a) a balanced representation of significantly interested parties, such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate);</p>	<p>5.2</p> <p>5.2.1</p> <p>5.2.1 a</p> <p>5.2.1 b</p> <p>5.2.1 c</p> <p></p> <p>5.2.2</p> <p>5.2.2 a</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>		

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<p>b) access to all the information necessary to enable it to fulfil all its functions.</p> <p>If the top management of the certification body does not follow the input of this mechanism, does the mechanism have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders)? In taking appropriate action, are the confidentiality requirements of 4.5 of ISO/IEC 17065: 2012 relating to the client and certification body respected?</p> <p>Is the input that is in conflict with the operating procedures of the certification body or other mandatory requirements not followed? Has the management documented the reasoning behind the decision to not follow the input and maintained the document for review by appropriate personnel?</p> <p>Although every interest cannot be represented in the mechanism, has your certification body identified and invited significantly interested parties?</p> <p>NOTE 1 Such interested parties can include clients of the certification body, customers of clients, manufacturers, suppliers, users, conformity assessment experts, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, and representatives of non-governmental organisations, including consumer organisations. It can be sufficient to have one representative of each interested party in the mechanism.</p> <p>NOTE 2 These interests can be limited, depending on the nature of the certification scheme.</p>	5.2.2 b	<input type="checkbox"/>		
	5.2.3	<input type="checkbox"/>		
		<input type="checkbox"/>		
	5.2.4	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>RESOURCE REQUIREMENTS</p> <p>Certification body personnel</p> <p>General</p> <p>Has your certification body employed, or had access to, a sufficient number of personnel to cover your operations related to the certification schemes and to the applicable standards and other normative documents?</p> <p>NOTE The personnel include those normally working for the certification body, as well as persons working under an individual contract or a formal agreement that places them within the management control and systems/procedures of the certification body (see 6.1.3 of ISO/IEC 17065: 2012).</p> <p>Are the personnel competent for the functions they perform, including making required technical judgments, defining policies and implementing them?</p> <p>Does personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body's behalf, keep confidential all information obtained or created during the performance of the certification activities, except as required by law or by the certification scheme?</p> <p>Management of competence for personnel involved in the certification process</p> <p>Does your certification body establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process (see Clause 7 of ISO/IEC 17065: 2012)?</p> <p>Does the procedure require the certification body to perform the following?</p>	<p>6</p> <p>6.1</p> <p>6.1.1</p> <p>6.1.1.1</p> <p>6.1.1.2</p> <p>6.1.1.3</p> <p>6.1.2</p> <p>6.1.2.1</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
a) determine the criteria for the competence of personnel for each function in the certification process, taking into account the requirements of the schemes;	6.1.2.1 a	<input type="checkbox"/>		
b) identify training needs and provide, as necessary, training programmes on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements;	6.1.2.1 b	<input type="checkbox"/>		
c) demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake;	6.1.2.1 c	<input type="checkbox"/>		
d) formally authorise personnel for functions in the certification process;	6.1.2.1 d	<input type="checkbox"/>		
e) monitor the performance of the personnel.	6.1.2.1 e	<input type="checkbox"/>		
Does your certification body maintain the following records on the personnel involved in the certification process (see Clause 7 of ISO/IEC 17065: 2012)?	6.1.2.2	<input type="checkbox"/>		
a) name and address;	6.1.2.2 a	<input type="checkbox"/>		
b) employer(s) and position held;	6.1.2.2 b	<input type="checkbox"/>		
c) educational qualification and professional status;	6.1.2.2 c	<input type="checkbox"/>		
d) experience and training;	6.1.2.2 d	<input type="checkbox"/>		
e) the assessment of competence;	6.1.2.2 e	<input type="checkbox"/>		
f) performance monitoring;	6.1.2.2 f	<input type="checkbox"/>		
g) authorizations held within the certification body;	6.1.2.2 g	<input type="checkbox"/>		
h) date of most recent updating of each record.	6.1.2.2 h	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Contract with the personnel</p> <p>Does your certification body require personnel involved in the certification process to sign a contract or other document by which they commit themselves to the following?</p> <p>a) to comply with the rules defined by the certification body, including those relating to confidentiality (see 4.5 of ISO/IEC 17065: 2012) and independence from commercial and other interests;</p> <p>b) to declare any prior and/or present association on their own part, or on the part of their employer, with:</p> <p>1) a supplier or designer of products, or</p> <p>2) a provider or developer of services, or</p> <p>3) an operator or developer of processes</p> <p>to the evaluation or certification of which they are to be assigned;</p> <p>c) to reveal any situation known to them that may present them or the certification body with a conflict of interest (see 4.2 of ISO/IEC 17065: 2012).</p> <p>Have the certification bodies used this information as input into identifying risks to impartiality raised by the activities of such personnel, or by the organisations that employ them (see 4.2.3 of ISO/IEC 17065: 2012)?</p>	<p>6.1.3</p> <p>6.1.3 a</p> <p>6.1.3 b</p> <p>6.1.3 b1</p> <p>6.1.3 b2</p> <p>6.1.3 b3</p> <p>6.1.3 c</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>		

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<p>Resources for evaluation</p> <p>Internal resources</p> <p>When a certification body performs evaluation activities, either with its internal resources or with other resources under its direct control, does it meet the applicable requirements of the relevant International Standards and, as specified by the certification scheme, of other documents? For testing, does it meet the applicable requirements of ISO/IEC 17025? For inspection, does it meet the applicable requirements of ISO/IEC 17020? And for management system auditing, does it meet the applicable requirements of ISO/IEC 17021?</p> <p>Are the impartiality requirements of the evaluation personnel stipulated in the relevant standard always applicable?</p> <p>NOTE Examples of reasons as to why some requirements are not applicable include the following:</p> <ul style="list-style-type: none"> - expertise is available within the certification body when using the results of the evaluation activity; - the extent of control the certification body has over testing (including witnessing the testing), inspection (e.g. specifying inspection methods or parameters) or management system assessment (e.g. requiring specific details of a management system); - a particular requirement is covered in an equivalent way by this International Standard, or is not needed to give confidence in the certification decision. 	<p>6.2</p> <p>6.2.1</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Has your certification body had a legally binding contract with the body that provides the outsourced service, including provisions for confidentiality and conflict of interest as specified in 6.1.3 of ISO/IEC 17065: 2012, item c)?	6.2.2.3	<input type="checkbox"/>		
Does your certification body:	6.2.2.4			
a) take responsibility for all activities outsourced to another body?	6.2.2.4 a	<input type="checkbox"/>		
b) ensure that the body that provides outsourced services, and the personnel that it uses, are not involved, either directly or through any other employer, in such a way that the credibility of the results could be compromised?	6.2.2.4 b	<input type="checkbox"/>		
c) have documented policies, procedures and records for the qualification, assessing and monitoring of all bodies that provide outsourced services used for certification activities?	6.2.2.4 c	<input type="checkbox"/>		
d) maintain a list of approved providers of outsourced services?	6.2.2.4 d	<input type="checkbox"/>		
e) implement corrective actions for any breaches of the contract in 6.2.2.3 of ISO/IEC 17065: 2012 or other requirements in 6.2.2 of ISO/IEC 17065: 2012 of which it becomes aware?	6.2.2.4 e	<input type="checkbox"/>		
f) inform the client in advance of outsourcing activities, in order to provide the client with an opportunity to object?	6.2.2.4 f	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>NOTE If the qualification, assessing and monitoring of the bodies that provide outsourced services are performed by other organisations (e.g. by accreditation bodies, peer assessment bodies or governmental authorities), the certification body can take this qualification and monitoring into account provided that:</p> <ul style="list-style-type: none"> – it is provided for within the scheme requirements; – the scope is applicable to the work being undertaken; – the validity of the qualification, assessing and monitoring arrangements is verified at a periodicity determined by the certification body. <p>Process requirements</p> <p>General</p> <p>Does your certification body operate one or more certification scheme(s) covering your certification activities?</p> <p>NOTE 1 The elements of such schemes can be coupled with surveillance of production, or with the assessment and surveillance of the client's management system, or both.</p> <p>NOTE 2 General guidance on the development of schemes is given in ISO/IEC 17067, in combination with ISO/IEC Guide 28 and ISO/IEC Guide 53.</p> <p>Are the requirements against which the products of a client are evaluated those contained in specified standards and other normative documents?</p> <p>NOTE Guidance for developing normative documents suitable for this purpose is contained in ISO/IEC 17007.</p> <p>If explanations are required as to the application of these documents (see 7.1.2 of ISO/IEC 17065: 2012) for a specific certification scheme, are they formulated by relevant and impartial persons or committees, possessing the necessary technical competence, and made available by the certification body upon request?</p>	<p>7</p> <p>7.1</p> <p>7.1.1</p> <p>7.1.2</p> <p>7.1.3</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Application</p> <p>For application, does your certification body obtain all the necessary information to complete the certification process in accordance with the relevant certification scheme?</p> <p>NOTE 1 The following are examples of necessary information:</p> <ul style="list-style-type: none"> - the product(s) to be certified; - the standards and/or other normative documents for which the client is seeking certification (see 7.1.2 of ISO/IEC 17065: 2012); - the general features of the client, including its name and the address(es) of its physical location(s), significant aspects of its process and operations (if required by the relevant certification scheme), and any relevant legal obligations; - general information concerning the client, relevant to the field of certification for which the application is made, such as the client's activities, its human and technical resources, including laboratories and/or inspection facilities, and its functions and relationship in a larger corporation, if any; - information concerning all outsourced processes used by the client that will affect conformity to requirements; if the client has identified a legal entity/entities for producing the certified product(s) that is different from the client, then the certification body can establish appropriate contractual controls over the legal entity/entities concerned, if necessary for effective surveillance; if such contractual controls are needed, they can be established prior to providing formal certification documentation (see 7.7 of ISO/IEC 17065: 2012); - all other information needed in accordance with the relevant certification requirements, such as information for initial evaluation and surveillance activities, e.g. the locations where the certified product(s) are produced and contact personnel at these locations. 	<p>7.2</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>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>NOTE 2 A variety of media and mechanisms can be used to collect this information at various times, including an application form. Such information gathering can be in conjunction with, or separate from, the completion of the legally binding agreement (the certification agreement) specified in 4.1.2 of ISO/IEC 17065: 2012.</p> <p>NOTE 3 Application for an extension of the certification scope could involve similar products, different locations, etc.</p> <p>Application review</p> <p>Does your certification body conduct a review of the information obtained (see 7.2 of ISO/IEC 17065: 2012) to ensure that the following?</p> <p>a) the information about the client and the product is sufficient for the conduct of the certification process;</p> <p>b) any known difference in understanding between the certification body and the client is resolved, including agreement regarding standards or other normative documents;</p> <p>c) the scope of certification (see 3.10 of ISO/IEC 17065: 2012) sought is defined;</p> <p>d) the means are available to perform all evaluation activities;</p> <p>e) the certification body has the competence and capability to perform the certification activity.</p> <p>Does your certification body have a process to identify when the client's request for certification includes</p> <ul style="list-style-type: none"> - a type of product, or - a normative document, or - a certification scheme <p>with which your certification body has no prior experience?</p>	<p>7.3</p> <p>7.3.1</p> <p>7.3.1 a</p> <p>7.3.1 b</p> <p>7.3.1 c</p> <p>7.3.1 d</p> <p>7.3.1 e</p> <p>7.3.2</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>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>NOTE Products can be considered to be of the same type when the knowledge of the requirements, characteristics and technology related to one product is sufficient to understand the requirements, characteristics and technology of another product.</p>				
<p>In these cases (see 7.3.2 of ISO/IEC 17065: 2012), does your certification body ensure it has the competence and capability for all the certification activities it is required to undertake, and maintain a record of the justification for the decision to undertake certification?</p>	7.3.3	<input type="checkbox"/>		
<p>Does your certification body decline to undertake a specific certification if it lacks any competence or capability for the certification activities it is required to undertake?</p>	7.3.4	<input type="checkbox"/>		
<p>If the certification body relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities, then does your certification body reference the existing certification(s) in your records? If requested by the client, does your certification body provide justification for omission of activities?</p>	7.3.5	<input type="checkbox"/>		
<p>Evaluation</p>	7.4			
<p>Does your certification body have a plan for the evaluation activities to allow for the necessary arrangements to be managed?</p>	7.4.1	<input type="checkbox"/>		
<p>NOTE Depending on the characteristics of the certification scheme and the product requirements, the plan can be either a generic plan applicable to all activities, including evaluation of the quality management system, when applicable, or a specific one for a particular activity, or a combination of both.</p>				
<p>Does your certification body assign personnel to perform each evaluation task that it undertakes with its internal resources (see 6.2.1 of ISO/IEC 17065: 2012)?</p>	7.4.2	<input type="checkbox"/>		
<p>NOTE Outsourced tasks are completed by personnel usually assigned by the organisation to which the task is outsourced. Such personnel are not normally assigned by the certification body.</p>				

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body take suitable actions to ensure all necessary information and/or documentation is made available for performing the evaluation tasks?</p>	7.4.3	<input type="checkbox"/>		
<p>NOTE The evaluation tasks can include activities such as design and documentation review, sampling, testing, inspection and audit.</p>				
<p>Does your certification body carry out the evaluation activities that it undertakes with its internal resources (see 6.2.1 of ISO/IEC 17065: 2012) and manage outsourced resources (see 6.2.2 of ISO/IEC 17065: 2012) in accordance with the evaluation plan (see 7.4.1 of ISO/IEC 17065: 2012)? Are the products evaluated against the requirements covered by the scope of certification and other requirements specified in the certification scheme?</p>	7.4.4	<input type="checkbox"/>		
<p>Does your certification body only rely on evaluation results related to certification completed prior to the application for certification, where it takes responsibility for the results and satisfies itself that the body that performed the evaluation fulfils the requirements contained in 6.2.2 of ISO/IEC 17065: 2012 and those specified by the certification scheme?</p>	7.4.5	<input type="checkbox"/>		
<p>NOTE This can include work carried out under recognition agreements between certification bodies.</p>				
<p>Does your certification body inform the client of all nonconformities?</p>	7.4.6	<input type="checkbox"/>		
<p>If one or more nonconformities have arisen, and if the client expresses interest in continuing the certification process, does your certification body provide information regarding the additional evaluation tasks needed to verify that nonconformities have been corrected?</p>	7.4.7	<input type="checkbox"/>		
<p>If the client agrees to completion of the additional evaluation tasks, is the process specified in 7.4 of ISO/IEC 17065: 2012 repeated to complete the additional evaluation tasks?</p>	7.4.8	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Are the person(s) [excluding members of committees (see 5.1.4 of ISO/IEC 17065: 2012)] assigned by the certification body to make a certification decision employed by, or shall be under contract with, one of the following?</p> <ul style="list-style-type: none"> – the certification body (see 6.1 of ISO/IEC 17065: 2012); – an entity under the organisational control of the certification body (see 7.6.4 of ISO/IEC 17065: 2012). 	7.6.3	<input type="checkbox"/>		
<p>Is your certification body’s organisational control be one of the following?</p> <ul style="list-style-type: none"> – whole or majority ownership of another entity by the certification body; – majority participation by the certification body on the board of directors of another entity; – a documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control. <p>NOTE For governmental certification bodies, other parts of the same government can be considered to be “linked by ownership” to the certification body.</p>	7.6.4	<input type="checkbox"/>		
<p>Do the persons employed by, or under contract with, entities under organisational control fulfil the same requirements of this International Standard as persons employed by, or under contract with, the certification body?</p>	7.6.5	<input type="checkbox"/>		
<p>Does your certification body notify the client of a decision not to grant certification, and identify the reasons for the decision?</p> <p>NOTE If the client expresses interest in continuing the certification process, the certification body can resume the process for evaluation from 7.4.</p>	7.6.6	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Certification documentation</p> <p>Does the certification body provide the client with formal certification documentation that clearly conveys, or permits identification of the following?</p> <p>a) the name and address of the certification body;</p> <p>b) the date certification is granted (the date shall not precede the date on which the certification decision was completed);</p> <p>c) the name and address of the client;</p> <p>d) the scope of certification (see 3.10);</p> <p>NOTE Where the standard(s) or other normative document(s) (see 7.1.2 of ISO/IEC 17065: 2012) to which conformity is being certified include reference to other standards or normative documents, these do not need to be included in the formal certification documentation.</p> <p>e) the term or expiry date of certification, if certification expires after an established period;</p> <p>f) any other information required by the certification scheme.</p> <p>Does the formal certification documentation shall include the signature or other defined authorization of the person(s) of your certification body assigned such responsibility?</p> <p>NOTE The name and title of an individual whose agreement to be responsible for certification documentation is on record at the certification body is an example of a “defined authorization” other than a signature.</p> <p>Is formal certification documentation (see 7.7 of ISO/IEC 17065: 2012) only be issued after, or concurrent with, the following?</p> <p>a) the decision to grant or extend the scope of certification (see 7.6.1 of ISO/IEC 17065: 2012) has been made;</p>	<p>7.7</p> <p>7.7.1</p> <p>7.7.1 a</p> <p>7.7.1 b</p> <p>7.7.1 c</p> <p>7.7.1 d</p> <p>7.7.1 e</p> <p>7.7.1 f</p> <p>7.7.2</p> <p>7.7.3</p> <p>7.7.3 a</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>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
b) certification requirements have been fulfilled;	7.7.3 b	<input type="checkbox"/>		
c) the certification agreement (see 4.1.2 of ISO/IEC 17065: 2012) has been completed/signed.	7.7.3 c	<input type="checkbox"/>		
Directory of certified products	7.8			
Does your certification body maintain information on certified products which contains at least the following?				
a) identification of the product;	7.8 a	<input type="checkbox"/>		
b) the standard(s) and other normative document(s) to which conformity has been certified;	7.8 b	<input type="checkbox"/>		
c) identification of the client.	7.8 c	<input type="checkbox"/>		
Are the parts of this information that need to be published or made available upon request in a directory (through publications, electronic media or other means) stipulated by the relevant scheme(s)? As a minimum, does your certification body provide information, upon request, about the validity of a given certification?		<input type="checkbox"/>		
NOTE Where the certification body provides the information to a scheme, the scheme directory would satisfy this requirement.				
Surveillance	7.9			
If surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4 of ISO/IEC 17065: 2012, does your certification body initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme?	7.9.1	<input type="checkbox"/>		
NOTE 1 ISO/IEC 17067 provides examples of surveillance activities in certification schemes.				
NOTE 2 The criteria and process for surveillance activities are defined by each certification scheme.				

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>When surveillance utilizes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6 of ISO/IEC 17065: 2012, respectively, fulfilled?</p>	7.9.2	<input type="checkbox"/>		
<p>When continuing use of a certification mark is authorised for placement on a product (or its packaging, or information accompanying it) (for process or service, see 7.9.4 of ISO/IEC 17065: 2012) of a type which has been certified, are surveillance established and do they include periodic surveillance of marked products to ensure ongoing validity of the demonstration of fulfilment of product requirements?</p>	7.9.3	<input type="checkbox"/>		
<p>When continuing use of a certification mark is authorised for a process or service, are surveillance established and do they include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements?</p>	7.9.4	<input type="checkbox"/>		
<p>Changes affecting certification</p> <p>When the certification scheme introduces new or revised requirements that affect the client, does your certification body shall ensure these changes are communicated to all clients? Does your certification body verify the implementation of the changes by its clients and take actions required by the scheme?</p>	7.10 7.10.1	<input type="checkbox"/>		
<p>NOTE Contractual arrangements with clients can be necessary to ensure implementation of these requirements. A model of a license agreement for the use of certification, including the aspects related to a notice of changes, as far as applicable, is given in ISO/IEC Guide 28:2004, Annex E.</p>				
<p>Does your certification body consider other changes affecting certification, including changes initiated by the client, and decide upon the appropriate action?</p> <p>NOTE Changes affecting certification can include new information related to the fulfilment of certification requirements obtained by the certification body after certification has been established.</p>	7.10.2	<input type="checkbox"/>		
<p>Do the actions to implement changes affecting certification include, if required, the following:</p>	7.10.3	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<ul style="list-style-type: none"> - evaluation (see 7.4 of ISO/IEC 17065: 2012); - review (see 7.5 of ISO/IEC 17065: 2012); - decision (see 7.6 of ISO/IEC 17065: 2012); - issuance of revised formal certification documentation (see 7.7 of ISO/IEC 17065: 2012) to extend or reduce the scope of certification; - issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme). <p>Are these actions completed in accordance with applicable parts of 7.4, 7.5, 7.6, 7.7 and 7.8 of ISO/IEC 17065: 2012? Do records (see 7.12 of ISO/IEC 17065: 2012) include the rationale for excluding any of the above activities (e.g. when a certification requirement that is not a product requirement changes, and no evaluation, review or decision activities are necessary)?</p>		<input type="checkbox"/> <input type="checkbox"/>		
<p>Termination, reduction, suspension or withdrawal of certification</p>	<p>7.11</p>			
<p>When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, does your certification body consider and decide upon the appropriate action?</p>	<p>7.11.1</p>	<input type="checkbox"/>		
<p>NOTE Appropriate action can include the following:</p> <ul style="list-style-type: none"> a) continuation of certification under conditions specified by the certification body (e.g. increased surveillance); b) reduction in the scope of certification to remove nonconforming product variants; c) suspension of the certification pending remedial action by the client; d) withdrawal of the certification. 				
<p>When the appropriate action includes evaluation, review or a certification decision, are the requirements in 7.4, 7.5 or 7.6 of ISO/IEC 17065: 2012, respectively, fulfilled?</p>	<p>7.11.2</p>	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>If certification is terminated (by request of the client), suspended or withdrawn, does your certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure it provides no indication that the product continues to be certified? If a scope of certification is reduced, does your certification body take actions specified by the certification scheme and make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?</p> <p>If certification is suspended, does your certification body assign one or more persons to formulate and communicate the following to the client?</p> <ul style="list-style-type: none"> – actions needed to end suspension and restore certification for the product(s) in accordance with the certification scheme; – any other actions required by the certification scheme. <p>Are these persons competent in their knowledge and understanding of all aspects of the handling of suspended certifications (see 6.1 of ISO/IEC 17065: 2012)?</p> <p>Are the evaluations, reviews or decisions needed to resolve the suspension, or that are required by the certification scheme, completed in accordance with the applicable parts of 7.4, 7.5, 7.6, 7.7.3, 7.9 and 7.11.3 of ISO/IEC 17065: 2012?</p>	7.11.3	<input type="checkbox"/>		
	7.11.4	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		
	7.11.5	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>If certification is reinstated after suspension, does your certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure all appropriate indications exist that the product continues to be certified? If a decision to reduce the scope of certification is made as a condition of reinstatement, does your certification body make all necessary modifications to formal certification documents, public information, authorizations for use of marks, etc., in order to ensure the reduced scope of certification is clearly communicated to the client and clearly specified in certification documentation and public information?.</p>	7.11.6	<input type="checkbox"/>		
<p>Records</p>	<p>7.12</p>			
<p>Does your certification body retain records to demonstrate that all certification process requirements (those in this International Standard and those of the certification scheme) have been effectively fulfilled (see also 8.4 of ISO/IEC 17065: 2012)?</p>	7.12.1	<input type="checkbox"/>		
<p>Does your certification body keep records confidential? Are the records transported, transmitted and transferred in a way that ensures confidentiality is maintained (see also 4.5 of ISO/IEC 17065: 2012)?</p>	7.12.2	<input type="checkbox"/>		
<p>If the certification scheme involves complete re-evaluation of the product(s) within a determined cycle, are the records retained at least for the current and the previous cycle, or retained for a period defined by the certification body?</p>	7.12.3	<input type="checkbox"/>		
<p>NOTE In defining retention times, legal circumstances and recognition arrangements can be considered.</p>				
<p>Complaints and appeals</p>	<p>7.13</p>			
<p>Does your certification body have a documented process to receive, evaluate and make decisions on complaints and appeals? Do you record and track complaints and appeals, as well as actions undertaken to resolve them?</p>	7.13.1	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Upon receipt of a complaint or appeal, does your certification body confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, shall address it?	7.13.2	<input type="checkbox"/>		
Does your certification body acknowledge receipt of a formal complaint or appeal?	7.13.3	<input type="checkbox"/>		
Does your certification body be responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision?	7.13.4	<input type="checkbox"/>		
Is the decision resolving the complaint or appeal made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal?	7.13.5	<input type="checkbox"/>		
To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy (see 3.2 of ISO/IEC 17065: 2012) for a client, or been employed by a client, shall not be used by the certification body to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment. Does your certification body have provisions to meet these requirements?	7.13.6	<input type="checkbox"/>		
Does your certification body, whenever possible, give formal notice of the outcome and the end of the complaint process to the complainant?	7.13.7	<input type="checkbox"/>		
Does your certification body give formal notice of the outcome and the end of the appeal process to the appellant?	7.13.8	<input type="checkbox"/>		
Does your certification body take any subsequent action needed to resolve the complaint or appeal?	7.13.9	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
8 Management system requirements				
8.1 Options				
General				
Does your certification body establish and maintain a management system that is capable of achieving the consistent fulfilment of the requirements of this International Standard in accordance with either Option A or Option B?	8.1.1	<input type="checkbox"/>		
Option A				
The management system of the certification body shall address the following:	8.1.2	<input type="checkbox"/>		
<ul style="list-style-type: none"> – general management system documentation (e.g. manual, policies, definition of responsibilities, see 8.2 of ISO/IEC 17065: 2012); – control of documents (see 8.3 of ISO/IEC 17065: 2012); – control of records (see 8.4 of ISO/IEC 17065: 2012); – management review (see 8.5 of ISO/IEC 17065: 2012); – internal audit (see 8.6 of ISO/IEC 17065: 2012); – corrective actions (see 8.7 of ISO/IEC 17065: 2012); – preventive actions (see 8.8 of ISO/IEC 17065: 2012). 				

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Option B</p> <p>A certification body that has established and maintains a management system, in accordance with the requirements of ISO 9001, and that is capable of supporting and demonstrating the consistent fulfilment of the requirements of this International Standard, fulfils the management system clause requirements (see 8.2 to 8.8 of ISO/IEC 17065: 2012). Does your certification body fulfill these requirements?</p> <p>NOTE Option B is included to enable a certification body which operates a management system in accordance with ISO 9001 to use that system to demonstrate fulfilment of the management system requirements in 8.2 to 8.8 of this International Standard. Option B does not require that the certification body's management system is certified to ISO 9001.</p>	8.1.3	<input type="checkbox"/>		
<p>General management system documentation (Option A)</p> <p>Does your certification body's top management establish, document, and maintain policies and objectives for fulfilment of this International Standard and the certification scheme and ensure the policies and objectives are acknowledged and implemented at all levels of the certification body's organisation?</p> <p>Does your certification body's top management provide evidence of its commitment to the development and implementation of the management system and its effectiveness in achieving consistent fulfilment of this International Standard?</p> <p>Does your certification body's top management appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that include the following?</p> <p>a) ensuring that processes and procedures needed for the management system are established, implemented and maintained;</p> <p>b) reporting to top management on the performance of the management system and any need for improvement.</p>	<p>8.2</p> <p>8.2.1</p> <p>8.2.2</p> <p>8.2.3</p> <p>8.2.3 a</p> <p>8.2.3 b</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>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard system, referenced, or linked to documentation of the management system?	8.2.4	<input type="checkbox"/>		
Do all personnel involved in certification activities have access to the parts of the management system documentation and related information that are applicable to their responsibilities?	8.2.5	<input type="checkbox"/>		
Control of documents (Option A)	8.3			
Does your certification body establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard?	8.3.1	<input type="checkbox"/>		
Does the procedures define the controls needed to:	8.3.2			
a) approve documents for adequacy prior to issue;	8.3.2 a	<input type="checkbox"/>		
b) review and update (as necessary) and re-approve documents;	8.3.2 b	<input type="checkbox"/>		
c) ensure that changes and the current revision status of documents are identified;	8.3.2 c	<input type="checkbox"/>		
d) ensure that relevant versions of applicable documents are available at points of use;	8.3.2 d	<input type="checkbox"/>		
e) ensure that documents remain legible and readily identifiable;	8.3.2 e	<input type="checkbox"/>		
f) ensure that documents of external origin are identified and their distribution controlled;	8.3.2 f	<input type="checkbox"/>		
g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.	8.3.2 g	<input type="checkbox"/>		
NOTE Documentation can be in any form or type of medium.				

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Control of records (Option A)</p>	<p>8.4</p>			
<p>Does your certification body establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard?</p>	<p>8.4.1</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body establish procedures for retaining records (see 7.12 of ISO/IEC 17065: 2012) for a period consistent with its contractual and legal obligations? Is access to these records consistent with the confidentiality arrangements?</p>	<p>8.4.2</p>	<p><input type="checkbox"/></p>		
<p>Management review (Option A)</p>	<p>8.5</p>			
<p>General</p>	<p>8.5.1</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body's top management establish procedures to review its management system at planned intervals, in order to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard?</p>	<p>8.5.1.1</p>	<p><input type="checkbox"/></p>		
<p>Are these reviews conducted at least once a year? or alternatively, is there a complete review broken up into segments completed within a 12-month time frame? Are records of reviews maintained?</p>	<p>8.5.1.2</p>	<p><input type="checkbox"/></p>		
<p>Review inputs</p>	<p>8.5.2</p>			
<p>Do the input to the management review include information related to the following?</p>				
<p>a) results of internal and external audits;</p>	<p>8.5.2 a</p>	<p><input type="checkbox"/></p>		
<p>b) feedback from clients and interested parties related to the fulfilment of this International Standard;</p>	<p>8.5.2 b</p>	<p><input type="checkbox"/></p>		
<p>NOTE Interested parties can include scheme owners.</p>				
<p>c) feedback from the mechanism for safeguarding impartiality;</p>	<p>8.5.2 c</p>	<p><input type="checkbox"/></p>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
d) the status of preventive and corrective actions; e) follow-up actions from previous management reviews; f) the fulfilment of objectives; g) changes that could affect the management system; h) appeals and complaints.	8.5.2 d	<input type="checkbox"/>		
	8.5.2 e	<input type="checkbox"/>		
	8.5.2 e	<input type="checkbox"/>		
	8.5.2 g	<input type="checkbox"/>		
	8.5.2 h	<input type="checkbox"/>		
Review outputs Do the outputs from the management review include decisions and actions related to the following?	8.5.3			
a) improvement of the effectiveness of the management system and its processes;	8.5.3 a	<input type="checkbox"/>		
b) improvement of the certification body related to the fulfilment of this International Standard;	8.5.3 b	<input type="checkbox"/>		
c) resource needs.	8.5.2 c	<input type="checkbox"/>		
8.6 Internal audits (Option A) Does your certification body establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that the management system is effectively implemented and maintained?	8.6.1	<input type="checkbox"/>		
NOTE ISO 19011 provides guidelines for conducting internal audits.				
Does your certification body plan an audit programme, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits?	8.6.2	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body normally perform internal audits at least once every 12 months, or complete within a 12-month time frame for segmented (or rolling) internal audits? Do you follow the documented decision-making process to change (reduce or restore) the frequency of internal audits or the time frame in which internal audits shall be completed? Are the changes based on the relative stability and ongoing effectiveness of the management system? Does your certification body maintain records of decisions to change the frequency of internal audits, or the time frame in which they will be completed, including the rationale for the change?</p>	8.6.3	<input type="checkbox"/>		
<p>Does your certification body take suitable action to ensure that:</p>	8.6.4			
<p>a) internal audits are conducted by personnel knowledgeable in certification, auditing and the requirements of this International Standard;</p>	8.6.4 a	<input type="checkbox"/>		
<p>b) auditors do not audit their own work;</p>	8.6.4 b	<input type="checkbox"/>		
<p>c) personnel responsible for the area audited are informed of the outcome of the audit;</p>	8.6.4 c	<input type="checkbox"/>		
<p>d) any actions resulting from internal audits are taken in a timely and appropriate manner;</p>	8.6.4 d	<input type="checkbox"/>		
<p>e) any opportunities for improvement are identified.</p>	8.6.4 e	<input type="checkbox"/>		
<p>Corrective actions (Option A)</p>	8.7			
<p>Does your certification body establish procedures for identification and management of nonconformities in its operations?</p>	8.7.1	<input type="checkbox"/>		
<p>Does your certification body also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?</p>	8.7.2	<input type="checkbox"/>		
<p>Are the corrective actions appropriate to the impact of the problems encountered?</p>	8.7.3	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Do the procedures for corrective actions define requirements for the following?	8.7.4			
a) identifying nonconformities (e.g. from complaints and internal audits);	8.7.4 a	<input type="checkbox"/>		
b) determining the causes of nonconformity;	8.7.4 b	<input type="checkbox"/>		
c) correcting nonconformities;	8.7.4 c	<input type="checkbox"/>		
d) evaluating the need for actions to ensure that nonconformities do not recur;	8.7.4 d	<input type="checkbox"/>		
e) determining and implementing the actions needed in a timely manner;	8.7.4 e	<input type="checkbox"/>		
f) recording the results of actions taken;	8.7.4 f	<input type="checkbox"/>		
g) reviewing the effectiveness of corrective actions.	8.7.4 g	<input type="checkbox"/>		
Preventive actions (Option A)	8.8			
Does your certification body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?	8.8.1	<input type="checkbox"/>		
Are the preventive actions taken appropriate to the probable impact of the potential problems?	8.8.2	<input type="checkbox"/>		
Do the procedures for preventive actions define requirements for the following?	8.8.3			
a) identifying potential nonconformities and their causes;	8.8.3 a	<input type="checkbox"/>		
b) evaluating the need for action to prevent the occurrence of nonconformities;	8.8.3 b	<input type="checkbox"/>		
c) determining and implementing the action needed;	8.8.3 c	<input type="checkbox"/>		

ISO/IEC 17065: 2012 Requirements	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
d) recording the results of actions taken; e) reviewing the effectiveness of the preventive actions taken. NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.	8.8.3 d	<input type="checkbox"/>		
	8.8.3 e	<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
The obligations of an applicant or accredited organisation					
After obtaining accreditation, will your certification body at all times :-					
(a) conform with the accreditation criteria, including accreditation regulations specified in HKAS 002 and HKCAS Supplementary Criteria No.4, technical and non-technical requirements and other conditions as specified by HKAS Executive under its terms of accreditation;	HKAS 002 5.1 a		<input type="checkbox"/>		
(b) represent honestly and truthfully to any person concerned that your certification body is only accredited for activities stated in your scope of accreditation;	HKAS002 5.1 b		<input type="checkbox"/>		
(c) pay such fees and charges as determined by HKAS Executive;	HKAS 002 5.1 c		<input type="checkbox"/>		
(d) endeavour to ensure the accreditation granted by HKAS is not used in a misleading manner;	HKAS 002 5.1 d		<input type="checkbox"/>		
(e) be a legal entity; and	HKAS 002 5.1 e		<input type="checkbox"/>		
(f) conform with the Business Registration Ordinance (Cap 310)?	HKAS 002 5.1 f		<input type="checkbox"/>		
For any customers for which your certification body performs any accredited activity, does your certification body maintain for such activity a quality standard which is in conformity with the accreditation criteria as set by HKAS?	HKAS 002 5.2		<input type="checkbox"/>		
Will your certification body maintain the same quality standard at all times, no matter whether or not the HKAS accreditation symbol is used in the certificate covering the result of such activity?	HKAS 002 5.2		<input type="checkbox"/>		
When making any statement in relation to your certification body's accreditation status in situation where non-accredited activities are mentioned, will your certification body ensure that such a statement is accompanied by a statement indicating which activities are not accredited?	HKAS 002 5.3		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Is your certification body aware of the following accreditation regulation :- “Upon termination of accreditation for all activities of an organisation as specified in a certificate of accreditation, the organisation shall return such certificate of accreditation to HKAS Executive forthwith.”?</p>	HKAS 002 5.4		<input type="checkbox"/>		
<p>Will your certification body cooperate with HKAS Executive and its assessment teams and provide them with full support during an on-site assessment and in any other situation such as to provide all necessary information for assessment of your certification body’s competence and conformity with the accreditation criteria?</p>	HKAS 002 5.5		<input type="checkbox"/>		
<p>Upon the request of HKAS Executive, will your certification body provide HKAS Executive with a copy of the documentary standard for which your certification body seeks HKAS accreditation for use during the assessment?</p>	HKAS 002 5.5		<input type="checkbox"/>		
<p>Does your certification body ensure that you will not use your accreditation status in such a manner that will bring HKAS or any of its accreditation schemes into disputes, and will not make any statement regarding your accreditation status that HKAS Executive may reasonably consider it to be misleading?</p>	HKAS 002 5.6		<input type="checkbox"/>		
<p>Does your certification body maintain complete integrity and impartiality in all circumstances?</p>	HKAS 002 5.7		<input type="checkbox"/>		
<p>Does your certification body issue and implement a pertinent code of conduct for all its directors, officers, employees and other personnel involved in its operation?</p>	HKAS 002 5.7		<input type="checkbox"/>		
<p>Will the authorised representative further report immediately any corrupt practice to the ICAC (or similar authority or the police when outside the jurisdiction of the HKSAR)?</p>	HKAS 002 5.7		<input type="checkbox"/>		
<p>Will the authorised representative further report any impropriety or unlawful act of the organisation or any iniquitous management and/or staff to HKAS Executive?</p>	HKAS 002 5.7		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Will your certification body notify HKAS Executive within one calendar month if a new authorised representative has been appointed?</p>	HKAS 002 5.8		<input type="checkbox"/>		
<p>Will the authorised representative or in his absence, other responsible person of your certification body inform HKAS Executive in writing immediately of any changes or intended changes in your certification body’s circumstances which may affect your conformity with relevant accreditation criteria?</p>	HKAS 002 5.9		<input type="checkbox"/>		
<p>Does your certification body implement the following HKAS regulation on confidentiality :- “An applicant or accredited organisation shall pay due regard to the confidentiality of its customer’s information and shall make internal rules and guidelines in order to ensure protection of its customer’s information. Confidential information about a particular customer shall not be disclosed to a third party without the consent of the customer, except where the law requires such information to be so disclosed. However, an applicant or accredited organisation shall allow HKAS Executive to examine all its records which are relevant to the scope of accreditation in order to assess its competence and conformity with the relevant accreditation criteria. An applicant organisation and an accredited organisation shall obtain consent from their customers for the disclosure of any relevant information to HKAS.”?</p>	HKAS 002 5.10		<input type="checkbox"/>		
<p>Does your certification body ensure that no unofficial contact with assessors, technical experts and/or AAB members will be made on any matter relating to or in connection with the assessment of any activity for the purpose of granting or maintaining accreditation?</p>	HKAS 002 5.11		<input type="checkbox"/>		
<p>Are all communications concerning your certification body’s assessment made between the authorised representative or his/her representative or its chief executive or his/her representative and HKAS Executive?</p>	HKAS 002 5.11		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body have a clear policy in writing concerning offering solicitation and acceptance of advantages as stipulated in the Prevention of Bribery Ordinance by its personnel? Does the policy document contain a statement notifying its personnel of the law under Section 9 of the Prevention of Bribery Ordinance (Cap. 201)? Does your certification body further ensure that the policy is made known to all its personnel?</p>	HKAS 002 5.12		<input type="checkbox"/>		
<p>Does your certification body have a policy and procedure in writing for handling and resolving complaints, disputes and appeals from your customers or other parties?</p>	HKAS 002 5.13		<input type="checkbox"/>		
<p>Does your certification body keep records of all complaints, disputes and appeals and actions taken for a minimum of 3 years and make available to HKAS Executive for inspection upon request?</p>	HKAS 002 5.13		<input type="checkbox"/>		
<p>Where a complaint, dispute or appeal received from your customers or other parties raises any doubt on your conformity with your policies or procedures, will your certification body ensure that the relevant areas of your accredited activities are promptly audited?</p>	HKAS 002 5.14		<input type="checkbox"/>		
<p>If a complaint, dispute or appeal received from your customers or other parties relating to any of your accredited activities is not satisfactorily resolved within 60 days from the date of receipt, will your certification body notify HKAS Executive in writing of this matter?</p>	HKAS 002 5.15		<input type="checkbox"/>		
<p>Is your certification body aware that any concerned party may lodge complaints with HKAS on any of your accredited activities?</p>	HKAS 002 5.16		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Is your certification body aware of the following HKAS regulation? ‘Upon the request of HKAS Executive, an accredited organisation shall confirm the authenticity or otherwise of a report, certificate or other document purporting to have been issued by it for an accredited activity. Where such a report, certificate or document is found to be a forged document, the organisation shall cooperate with HKAS Executive in the investigation of its cause and taking mutually agreeable steps to prevent recurrence.’</p>	HKAS 002 5.17		<input type="checkbox"/>		
<p>Is your certification body aware of the following HKAS regulation? ‘An applicant or accredited organisation shall not provide certification service to any other party for any standard used by HKAS as accreditation criteria. HKAS Executive will take immediate action to suspend the accreditation of an accredited organisation in violation of this requirement.’</p>	HKAS 002 5.18		<input type="checkbox"/>		
<p>Use of HKAS accreditation symbols and claims of accreditation status</p> <p>Does your certification body implement the following HKAS regulation :- “An accredited organisation may use the relevant HKAS accreditation symbols and claim its accreditation status as described in HKAS Supplementary Criteria No. 1 – ‘Use of HKAS accreditation symbols and claims of accreditation status’ provided that the following conditions are conformed with :-</p>					

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
(a) all advertising and promotional materials (including letterheads) shall not, in the opinion of HKAS Executive, give a false or misleading impression regarding the accreditation status of the organisation;	HKAS 002 8.1 a		<input type="checkbox"/>		
(b) HKAS Supplementary Criteria No. 1 – ‘Use of HKAS accreditation symbols and claims of accreditation status’ and requirements relevant to the accreditation scheme concerned as described in the relevant specific regulations, are complied with at all times; and	HKAS 002 8.1 b		<input type="checkbox"/>		
(c) any statement made by the organisation in connection with its accreditation status shall not, in the opinion of HKAS Executive, give a false or misleading impression to any third party of its accreditation status.”?	HKAS 002 8.1 c		<input type="checkbox"/>		
Is your certification body aware of that an accredited organisation shall not allow its accreditation be used to imply that any subject of its accredited activities, for example, a product, process, system or person is approved by HKAS or HKAS Executive and shall take suitable actions to stop any incorrect reference to accreditation.	HKAS 002 8.2		<input type="checkbox"/>		
Upon suspension or termination of the accreditation of any activities carried out by your certification body, regardless of whether it is voluntarily made, will your certification body immediately discontinue to make reference to the accreditation in any certificate and other document reporting certification results, letterhead, brochure and advertising material, stationary, and internet websites, etc.?	HKAS 002 8.3		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Specific regulations for HKAS					
<p>Has your certification body documented the code of conduct within its management system for stating its policies on impartiality, confidentiality, professionalism, integrity, conflict of interest, and the organisation’s commitment to complying with the Prevention of Bribery Ordinance (Cap 201) of Hong Kong or applicable laws and regulations of the country where the accredited organisation is located?</p>	<p>HKAS SC-06 2.1</p>		<input type="checkbox"/>		
<p>Does the code of conduct cover at least the following aspects:</p>					
<p>(a) solicitation and acceptance of advantage;</p>	<p>HKAS SC-06 2.2a</p>		<input type="checkbox"/>		
<p>(b) offer of advantage;</p>	<p>HKAS SC-06 2.2b</p>		<input type="checkbox"/>		
<p>(c) entertainment;</p>	<p>HKAS SC-06 2.2c</p>		<input type="checkbox"/>		
<p>(d) compliance with laws of Hong Kong or of relevant jurisdictions;</p>	<p>HKAS SC-06 2.2d</p>		<input type="checkbox"/>		
<p>(e) compliance with relevant requirements of applicable professional standards;</p>	<p>HKAS SC-06 2.2e</p>		<input type="checkbox"/>		
<p>(f) conflict of interest;</p>	<p>HKAS SC-06 2.2f</p>		<input type="checkbox"/>		
<p>(g) use of company assets;</p>	<p>HKAS SC-06 2.2g</p>		<input type="checkbox"/>		
<p>(h) confidentiality of company information;</p>	<p>HKAS SC-06 2.2h</p>		<input type="checkbox"/>		
<p>(i) outside employment;</p>	<p>HKAS SC-06 2.2i</p>		<input type="checkbox"/>		
<p>(j) relationship with customers, suppliers and contractors;</p>	<p>HKAS SC-06 2.2j</p>		<input type="checkbox"/>		
<p>(k) procedures for reporting suspected violation and established mechanism for the prompt and fair adjudication of alleged violations; and</p>	<p>HKAS SC-06 2.2k</p>		<input type="checkbox"/>		
<p>(l) disciplinary actions to be taken against violations.</p>	<p>HKAS SC-06 2.2l</p>		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body determine the contents of the code of conduct in accordance with its circumstances to ensure that all persons working for it act lawfully, ethically, professionally, and honestly and protect the impartiality, independence and integrity of the organisation?</p>	<p>HKAS SC-06 2.3</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that all its directors, staff and other personnel working for it understand and practice the code of conduct?</p>	<p>HKAS SC-06 3.1</p>		<input type="checkbox"/>		
<p>Has your certification body provided training to all personnel as part of the orientation training when they join the organisation and refresher training to all members periodically thereafter?</p>	<p>HKAS SC-06 3.2</p>		<input type="checkbox"/>		
<p>Does your certification body periodically remind all personnel working for it the code of conduct?</p>	<p>HKAS SC-06 3.3</p>		<input type="checkbox"/>		
<p>Is the code of conduct accessible to all personnel working for the organisation?</p>	<p>HKAS SC-06 3.4</p>		<input type="checkbox"/>		
<p>Is the authorised representative aware that he/she shall report any impropriety or unlawful act of the organisation or any iniquitous management and/or staff to HKAS Executive in accordance with HKAS 002 clause 5.7?</p>	<p>HKAS SC-06 3.5</p>		<input type="checkbox"/>		
<p>Does your certification body periodically review the code's suitability and adequacy; and implement improvement as appropriate?</p>	<p>HKAS SC-06 3.6</p>		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Specific regulations for HKCAS</p> <p>An assessment team may, at its discretion, carry out an observation on your certification body while it is performing certification audits for which your certification body is accredited or seeking accreditation. Does your certification body ensure to seek consent from and explain to your clients concerning the presence of the assessment team in such certification audits?</p> <p>Does your certification body further assure your clients that the presence of the assessment team during the certification audits will not affect the outcome of the audits?</p> <p>Is your certification body aware that HKAS Executive will conduct a reassessment on the accredited activities of your certification body every three years after the accreditation has been granted?</p> <p>Is your certification body aware that HKAS Executive may also conduct a surveillance visit to your certification body routinely every twelve months and HKAS Executive has discretion to vary the period for reassessment and surveillance visit as it sees fit?</p> <p>Does your certification body at all times conform with the following HKCAS accreditation criteria :-</p> <ul style="list-style-type: none"> (a) HKAS 002 - Regulations for HKAS Accreditation, (b) Relevant HKCAS Supplementary Criteria, (c) Relevant HKAS Supplementary Criteria, and (d) Relevant IAF Mandatory Documents and Resolutions (e) Relevant APAC Technical Documents and Resolutions (f) ISO/IEC 17065: 2012 (g) Relevant HKAS and HKCAS publications <p>Does your certification body ensure that it shall not use its accreditation status in a way that may be interpreted by any person that any product, process, system or person certified by your certification body has been approved by HKAS or HKAS Executive?</p>	<p>HKCAS SC-04 2.1</p> <p>HKCAS SC-04 2.1</p> <p>HKCAS SC-04 2.2</p> <p>HKCAS SC-04 2.3</p> <p>HKCAS SC-04 3.1</p> <p>HKCAS SC-04 3.2</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>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Will your certification body further endeavour to ensure that the organisations certified will implement the certified system at all time?</p>	<p>HKCAS SC-04 3.2</p>		<input type="checkbox"/>		
<p>If your certification body intends to subcontract any part of your accredited activities, does your certification body ensure that the subcontracted certification body is accredited for performing the activities by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS?</p>	<p>HKCAS SC-04 3.4</p>		<input type="checkbox"/>		
<p>Does your certification body notify the client in writing of your intention to subcontract the activities, the extent of such subcontract and the name of the subcontractor? Does your certification body further ensure that your client agrees to such arrangement?</p>	<p>HKCAS SC-04 3.4</p>		<input type="checkbox"/>		
<p>Does your certification body keep all records of such subcontracted activities?</p>	<p>HKCAS SC-04 3.4</p>		<input type="checkbox"/>		
<p>Does your certification body have enforceable arrangements with each client holding a HKCAS accredited certificate which commit it to allow, on request, HKAS assessment teams to witness the certification body's audit teams performing audits, including access to its premises for doing so?</p>	<p>HKCAS SC-04 3.5</p>		<input type="checkbox"/>		
<p>Does your certification body provide to HKAS an up-to-date list of countries/economies in which you have issued certificates under HKAS accreditation?</p>	<p>HKCAS SC-04 3.6</p>		<input type="checkbox"/>		
<p>Does your certification body commit to maintain complete integrity at any point in the application and assessment process?</p>	<p>HKCAS SC-04 3.8</p>		<input type="checkbox"/>		
<p>Will the authorised representative of your certification body, within 14 days from the effective date of any suspension or termination (voluntarily or by HKAS Executive), inform your customers of activities for which the accreditation has been suspended or terminated in writing of such suspension or termination?</p>	<p>HKCAS SC-04 4.1</p>		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Is your certification body aware of the following HKAS regulation on suspension and termination: “HKAS Executive may publish information relating to any suspension and termination of accreditation granted by HKAS in any HKAS publications and in the website of HKAS?”</p>	HKAS 002 2.10		<input type="checkbox"/>		
<p>Does your certification body implement the following HKAS regulation :- “An organisation which is certified by an HKAS accredited certification body may also use the HKCAS accreditation symbol of such certification body (subject to regulations set out in HKCAS SC-04) to demonstrate to the public that it has been certified by a competent and impartial certification body accredited by HKAS.”?</p>	HKCAS SC-04 5.2		<input type="checkbox"/>		
<p>Is your certification body aware that an HKAS accredited product certification body may use its HKCAS accreditation symbol on its certificates for certification activities within its scope of accreditation?</p>	HKCAS SC-04 5.3		<input type="checkbox"/>		
<p>Is your certification body aware that you shall provide the format of its proposed certificate with its HKCAS accreditation symbol to HKAS Executive for approval before use?</p>	HKCAS SC-04 5.4		<input type="checkbox"/>		
<p>Is your certification body aware that an HKAS accredited certification body may use its HKCAS accreditation symbol on its stationery, documents, publications and its advertisements, subject to the regulations set out in HKCAS Supplementary Criteria No.4, HKAS Supplementary Criteria No.1 and any other relevant requirements as specified from time to time by HKAS?</p>	HKCAS SC-04 5.5		<input type="checkbox"/>		
<p>Does your certification body ensure NOT to use the HKCAS accreditation symbol on any document unless such document relates in whole or in part to your accredited activity?</p>	HKCAS SC-04 5.6		<input type="checkbox"/>		
<p>Does your certification body ensure that the form, size, colour and usage of the HKCAS accreditation symbol are in accordance with the HKAS Supplementary Criteria No.1?</p>	HKCAS SC-04 5.7		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body use distinctly different certification marks for different certification systems (such as Product, Quality Management System) and take measures to avoid confusion between the meanings of its marks?</p>	<p>HKCAS SC-04 5.8</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that where an organisation is certified by your certification body, such certified organisation may use the HKCAS accreditation symbol in conjunction with the certification symbol of your certification body provided that any use of the accreditation symbol is subject to the regulations set out in HKCAS Supplementary Criteria No.4, HKAS Supplementary Criteria No.1 and any other relevant HKCAS requirements as specified from time to time by HKAS?</p>	<p>HKCAS SC-04 5.9</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the HKCAS accreditation symbol will not be used by any of your certified organisations on any stationery, documents, publications and advertisements unless those stationery, documents, publications and advertisements are related in whole or in part to your scope of accreditation and to the certification scope of the organisation?</p>	<p>HKCAS SC-04 5.11</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that your certified organisations will only use the HKCAS accreditation symbol together with your certification symbol in such a manner as set down in HKAS Supplementary Criteria No. 1 and any other relevant HKCAS Supplementary Criteria?</p>	<p>HKCAS SC-04 5.12</p>		<input type="checkbox"/>		
<p>Does your certification body ensure NOT to use the HKCAS accreditation symbol in any way that may be interpreted by any person as suggesting that HKAS Executive has certified or approved the activities of your certified organisations, or in any way which may have a misleading effect? Will your certification body also take reasonable steps to ensure that your certified organisations will not use the HKCAS accreditation symbol in such a way?</p>	<p>HKCAS SC-04 5.13</p>		<input type="checkbox"/>		

Regulations for HKAS Accreditation	Clause	*	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that if the accreditation in relation to any activity under your scope of accreditation is suspended or terminated (voluntarily or by HKAS Executive), your certification body will immediately cease to use and to distribute any certificate, stationery, document, publication and advertisement which bears the accreditation symbol, save for those which relate in whole or in part to activities, the accreditation of which is not terminated?</p> <p>If the accreditation for a certification system of your certification body is suspended or terminated, will your certification body take all steps to ensure that your certified organisations cease to use the HKCAS accreditation symbol, save for those which relate in whole or in part to certification systems, the accreditation of which is not suspended or terminated?</p>	<p>HKCAS SC-04 5.14</p>		<input type="checkbox"/>		
	<p>HKCAS SC-04 5.15</p>		<input type="checkbox"/>		

End