

HKIAS 007 Annex II

Checklist

(Based on HKIAS 003: 2017)

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

The checklist consists of questions based on the requirements of HKIAS 003:2017, HKAS 002, HKAS Supplementary Criteria No. 6 and HKIAS Supplementary Criteria No. 5. For further information, please refer to the corresponding document and clause as listed in the second column.

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

The columns headed '*' and 'OK' are for internal use of HKAS Executive.

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

Checklist on conformity with HKIAS Requirements

HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
HKIAS 003 TECHNICAL CRITERIA FOR ACCREDITATION OF INSPECTION BODIES						
GENERAL REQUIREMENTS	4					
Impartiality and independence	4.1					
Are inspection activities undertaken impartially?	4.1.1		<input type="checkbox"/>			
Is the inspection body responsible for the impartiality of its inspection activities? Does the inspection body not allow commercial, financial or other pressures to compromise impartiality?	4.1.2		<input type="checkbox"/>			
Does the inspection body identify risks to its impartiality on an ongoing basis? Does this include those risks that arise from its activities, or from its relationships, or from the relationships of its personnel? Do such relationships not necessarily present an inspection body with a risk to impartiality? <i>Note : A relationship that threatens the impartiality of the inspection 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.</i>	4.1.3		<input type="checkbox"/>			
If a risk to impartiality is identified, is the inspection body able to demonstrate how it eliminates or minimizes such risk?	4.1.4		<input type="checkbox"/>			
Does the inspection body have top management commitment to impartiality?	4.1.5		<input type="checkbox"/>			
Is the inspection body independent to the extent that is required with regard to the conditions under which it performs its services? Depending on these conditions, does it meet the minimum requirements stipulated in Annex A, as outlined below?	4.1.6		<input type="checkbox"/>			
a) Does the inspection body providing third party inspections meet the type A requirements of Clause A.1 (third party inspection body)?	4.1.6a		<input type="checkbox"/>			

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b) For an inspection body providing first party inspections, second party inspections, or both, which forms a separate and identifiable part of an organization involved in the design, manufacture, supply, installation, use or maintenance of the items it inspects and which supplies inspection services only to its parent organization (in-house inspection body), does the inspection body meet the type B requirements of Clause A.2?	4.1.6b		<input type="checkbox"/>			
c) For An inspection body providing first party inspections, second party inspections, or both, which forms an identifiable but not necessarily a separate part of an organization involved in the design, manufacture, supply, installation, use or maintenance of the items it inspects and which supplies inspection services to its parent organization or to other parties, or to both, does the inspection body meet the type C requirements of Clause A.3?	4.1.6c		<input type="checkbox"/>			
Confidentiality	4.2					
Is the inspection body responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of inspection activities? Does the inspection body inform the client, in advance, of the information it intends to place in the public domain? Except for information that the client makes publicly available, or when agreed between the inspection body and the client (e.g. for the purpose of responding to complaints), is all other information considered proprietary information and regarded as confidential? <i>Note : Legally enforceable commitments can be, for example, contractual agreements.</i>	4.2.1		<input type="checkbox"/>			
When the inspection body is required by law or authorized by contractual commitments to release confidential information, does the inspection body notify the client or individual concerned, unless prohibited by law, of the information provided?	4.2.2		<input type="checkbox"/>			
Is information about the client obtained from sources other than the client (e.g. complainant, regulators) treated as confidential?	4.2.3		<input type="checkbox"/>			

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STRUCTURAL REQUIREMENTS	5					
Administrative requirements	5.1					
Is the inspection body a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its inspection activities? <i>Note : A governmental inspection body is deemed to be a legal entity on the basis of its governmental status.</i>	5.1.1		<input type="checkbox"/>			
For an inspection body that is part of a legal entity involved in activities other than inspection, is the inspection body identifiable within that entity?	5.1.2		<input type="checkbox"/>			
Does the inspection body have documentation which describes the activities for which it is competent?	5.1.3		<input type="checkbox"/>			
Does the inspection body have adequate provision (e.g. insurance or reserves) to cover liabilities arising from its operations? <i>Note : The liability can be assumed by the State in accordance with national laws, or by the organization of which the inspection body forms a part.</i>	5.1.4		<input type="checkbox"/>			
Does the inspection body have documentation describing the contractual conditions under which it provides the inspection, except when it provides inspection services to the legal entity of which it is a part?	5.1.5		<input type="checkbox"/>			
Organisation and Management	5.2					
Is the inspection body structured and managed so as to safeguard impartiality?	5.2.1		<input type="checkbox"/>			
Is the inspection body organized and managed so as to enable it to maintain the capability to perform its inspection activities? <i>Note : Inspection schemes can require that the inspection body participates in the exchange of technical experience with other inspection bodies in order to maintain this capability.</i>	5.2.2		<input type="checkbox"/>			

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Does the inspection body define and document the responsibilities and reporting structure of the organization?	5.2.3		<input type="checkbox"/>			
Where the inspection body forms a part of a legal entity performing other activities, is the relationship between these other activities and inspection activities defined?	5.2.4		<input type="checkbox"/>			
Does the inspection body have available one or more person(s) as technical manager(s) who have overall responsibility to ensure that the inspection activities are carried out in accordance with this International Standard? <i>Note : This person fulfilling this function does not always have the title of technical manager.</i> Is/are the person(s) fulfilling this function technically competent and experienced in the operation of the inspection body? Where the inspection body has more than one technical manager, are the specific responsibilities of each manager defined and documented?	5.2.5		<input type="checkbox"/>			
Does the inspection body have one or more named person(s) who will deputize in the absence of any technical manager responsible for ongoing inspection activities?	5.2.6		<input type="checkbox"/>			
Does the inspection body have a job description or other documentation for each position category within its organization involved in inspection activities?	5.2.7		<input type="checkbox"/>			
RESOURCE REQUIREMENTS	6					
Personnel	6.1					
Does the inspection body define and document the competence requirements for all personnel involved in inspection activities, including requirements for education, training, technical knowledge, skills and experience? <i>Note : The competence requirements can be part of the job description or other documentation mentioned in 5.2.7.</i>	6.1.1	●	<input type="checkbox"/>			

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Does the inspection body employ, or have contracts with, a sufficient number of persons with the required competencies, including, where needed, the ability to make professional judgments, to perform the type, range and volume of its inspection activities?	6.1.2	●	<input type="checkbox"/>			
Do the personnel responsible for inspection have appropriate qualifications, training, experience and a satisfactory knowledge of the requirements of the inspections to be carried out? Do they have relevant knowledge of the following:	6.1.3		<input type="checkbox"/>			
- the technology used for the manufacture of the products inspected, the operation of processes and the delivery of services;	6.1.3		<input type="checkbox"/>			
- the way in which products are used, processes are operated and services are delivered;	6.1.3		<input type="checkbox"/>			
- any defects which may occur during the use of the product, any failures in the operation of the process and any deficiencies in the delivery of services?	6.1.3		<input type="checkbox"/>			
Do they understand the significance of deviations found with regard to the normal use of the products, the operation of the processes and the delivery of services?	6.1.3		<input type="checkbox"/>			
Does the inspection body make clear to each person their duties, responsibilities and authorities?	6.1.4		<input type="checkbox"/>			
Does the inspection body have documented procedures for selecting, training, formally authorizing, and monitoring inspectors and other personnel involved in inspection activities?	6.1.5		<input type="checkbox"/>			
Do the documented procedures for training (see 6.1.5) address the following stages:	6.1.6		<input type="checkbox"/>			
a) an induction period;	6.1.6a		<input type="checkbox"/>			
b) a mentored working period with experienced inspectors;	6.1.6b		<input type="checkbox"/>			

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c) continuing training to keep pace with developing technology and inspection methods?	6.1.6c		<input type="checkbox"/>			
Does the training required depend upon the ability, qualifications and experience of each inspector and other personnel involved in inspection activities, and upon the results of monitoring (see 6.1.8)?	6.1.7		<input type="checkbox"/>			
Do personnel familiar with the inspection methods and procedures monitor all inspectors and other personnel involved in inspection activities for satisfactory performance? Are results of monitoring used as a means of identifying training needs (see 6.1.7)? <i>Note : Monitoring can include a combination of techniques, such as on-site observations, report reviews, interviews, simulated inspections and other techniques to assess performance, and will depend on the nature of inspection activities.</i>	6.1.8	●	<input type="checkbox"/>			
Is each inspector observed on-site, unless there is sufficient supporting evidence that the inspector is continuing to perform competently? <i>Note : It is expected that on-site observations are performed in a way that minimizes the disturbance of the inspections, especially from the client's viewpoint.</i>	6.1.9		<input type="checkbox"/>			
Does the inspection body maintain records of monitoring, education, training, technical knowledge, skills, experience and authorization of each member of its personnel involved in inspection activities?	6.1.10		<input type="checkbox"/>			
Is the personnel involved in inspection activities not be remunerated in a way that influences the results of inspections?	6.1.11		<input type="checkbox"/>			
Do all personnel of the inspection body, either internal or external, that could influence the inspection activities act impartially?	6.1.12		<input type="checkbox"/>			
Do all personnel of the inspection body, including sub-contractors, personnel of external bodies, and individuals acting on the inspection body's behalf, keep confidential all information obtained or created during the performance of the inspection activities, except as required by law?	6.1.13		<input type="checkbox"/>			

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Facilities and equipment	6.2					
Does the inspection body have available, suitable and adequate facilities and equipment to permit all activities associated with the inspection activities to be carried out in a competent and safe manner? <i>Note : The inspection body need not be the owner of the facilities or equipment that it uses. Facilities and equipment can be borrowed, rented, hired, leased or provided by another party (e.g. the manufacturer or installer of the equipment). However, the responsibility for the suitability and the calibration status of the equipment used in inspection, whether owned by the inspection body or not, lies solely with the inspection body.</i>	6.2.1	●	<input type="checkbox"/>			
Does the inspection body have rules for the access to, and the use of, specified facilities and equipment used to perform inspections?	6.2.2	●	<input type="checkbox"/>			
Does the inspection body ensure the continued suitability of the facilities and the equipment mentioned in 6.2.1 for their intended use?	6.2.3	●	<input type="checkbox"/>			
Are all equipment having a significant influence on the results of the inspection defined and, where appropriate, uniquely identified?	6.2.4	●	<input type="checkbox"/>			
Are all equipment (see 6.2.4) maintained in accordance with documented procedures and instructions?	6.2.5	●	<input type="checkbox"/>			
Where appropriate, is measurement equipment having a significant influence on the results of the inspection be calibrated before being put into service, and thereafter calibrated according to an established programme?	6.2.6	●	<input type="checkbox"/>			
Is the overall programme of calibration of equipment be designed and operated so as to ensure that, wherever applicable, measurements made by the inspection body are traceable to national or international standards of measurement, where available? Where traceability to national or international standards of measurement is not applicable, does the inspection body maintain evidence of correlation or accuracy of inspection results?	6.2.7	●	<input type="checkbox"/>			

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Are reference standards of measurement held by the inspection body be used for calibration only and for no other purpose? Are reference standards of measurement be calibrated providing traceability to a national or international standard of measurement?	6.2.8	●	<input type="checkbox"/>			
Where relevant, is equipment be subjected to in-service checks between regular recalibrations?	6.2.9	●	<input type="checkbox"/>			
Are reference materials, where possible, traceable to national or international reference materials, where they exist?	6.2.10	●	<input type="checkbox"/>			
Where relevant for the outcome of inspection activities, does the inspection body have procedures for the following:	6.2.11		<input type="checkbox"/>			
a) selection and approval of suppliers;	6.2.11a		<input type="checkbox"/>			
b) verification of incoming goods and services;	6.2.11b		<input type="checkbox"/>			
c) ensuring appropriate storage facilities?	6.2.11c		<input type="checkbox"/>			
Where applicable, does the inspection body assess the condition of stored items at appropriate intervals to detect deterioration?	6.2.12		<input type="checkbox"/>			
If the inspection body uses computers or automated equipment in connection with inspections, does it ensure that:	6.2.13		<input type="checkbox"/>			
a) computer software is adequate for use; <i>Note : This can be done by the following:</i> - validation of calculations before use; - periodic revalidation of related hardware and software; - revalidation whenever changes are made to related hardware or software; - software updates implemented as required.	6.2.13a		<input type="checkbox"/>			
b) procedures are established and implemented for protecting the integrity and security of data;	6.2.13b		<input type="checkbox"/>			

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c) computer and automated equipment is maintained in order to ensure proper functioning?	6.2.13c		<input type="checkbox"/>			
Does the inspection body have documented procedures for dealing with defective equipment? Does the inspection body remove defective equipment from service by segregation, prominent labeling or marking? Does the inspection body examine the effect of defects on previous inspections and, when necessary, take appropriate corrective action?	6.2.14		<input type="checkbox"/>			
Does the inspection body record relevant information on the equipment, including software? Does this include identification and, where appropriate, information on calibration and maintenance?	6.2.15	●	<input type="checkbox"/>			
Subcontracting	6.3					
<p>Does the inspection body itself normally perform the inspections that it contracts to undertake? Where an inspection body subcontracts any part of the inspection, does it ensure and be able to demonstrate that the subcontractor is competent to perform the activities in question and, where applicable, complies with the relevant requirements stipulated in this International Standard or in other relevant conformity assessment standards?</p> <p><i>Note 1 : Reasons to subcontract can include the following:</i></p> <ul style="list-style-type: none"> - an unforeseen or abnormal overload; - key inspection staff members being incapacitated; - key facilities or items of equipment being temporarily unfit for use; - part of the contract from the client involving inspection not covered by the inspection body's scope or being beyond the capability or resources of the inspection body. <p><i>Note 2 : The terms "subcontracting" and "outsourcing" are considered to be synonyms.</i></p> <p><i>Note 3 : Where the inspection body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals are not considered to be subcontractors provided they are formally contracted to operate under the inspection body's management system (see 6.1.2).</i></p>	6.3.1		<input type="checkbox"/>			

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Does the inspection body inform the client of its intention to subcontract any part of the inspection?	6.3.2		<input type="checkbox"/>			
Whenever subcontractors carry out work that forms part of an inspection, does the responsibility for any determination of conformity of the inspected item with the requirements remain with the inspection body?	6.3.3		<input type="checkbox"/>			
Does the inspection body record and retain details of its investigation of the competence of its subcontractors and of their conformity with the applicable requirements of this International Standard or in other relevant conformity assessment standards? Does the inspection body maintain a register of all subcontractors?	6.3.4		<input type="checkbox"/>			
PROCESS REQUIREMENTS	7					
Inspection methods and procedures	7.1	●				
Does the inspection body use the methods and procedures for inspection which are defined in the requirements against which inspection is to be performed? Where these are not defined, does the inspection body develop specific methods and procedures to be used (see 7.1.3)? Does the inspection body inform the client if the inspection method proposed by the client is considered to be inappropriate? <i>Note : The requirements against which the inspection is performed are normally specified in regulations, standards or specifications, inspection schemes or contracts. Specifications can include client or in-house requirements.</i>	7.1.1	●	<input type="checkbox"/>			
Does the inspection body have and use adequate documented instructions on inspection planning and on sampling and inspection techniques, where the absence of such instructions could jeopardize the effectiveness of the inspection process? Where applicable, does the inspection body have sufficient knowledge of statistical techniques to ensure statistically sound sampling procedures and the correct processing and interpretation of results?	7.1.2	●	<input type="checkbox"/>			

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<p>When the inspection body has to use inspection methods or procedures which are non-standard, are such methods and procedures appropriate and fully documented?</p> <p><i>Note : A standard inspection method is one that has been published, for example, in international, regional or national standards, or by reputable technical organizations or by co-operation of several inspection bodies or in relevant scientific text or journals. This means that methods developed by any other means, including by the inspection body itself or by the client, are considered to be non-standard methods.</i></p>	7.1.3	●	<input type="checkbox"/>			
Does the inspection body maintain all instructions, standards or written procedures, worksheets, check lists and reference data relevant to the work of the inspection body up-to-date? Does the inspection body made them readily available to the personnel?	7.1.4	●	<input type="checkbox"/>			
Does the inspection body have a contract or work order control system which ensures that:	7.1.5	●	<input type="checkbox"/>			
<p>a) work to be undertaken is within its expertise and that the organization has adequate resources to meet the requirements;</p> <p><i>Note : Resources can include, but are not limited to, facilities, equipment, reference documentation, procedures or human resources.</i></p>	7.1.5a	●	<input type="checkbox"/>			
b) the requirements of those seeking the inspection body's services are adequately defined and that special conditions are understood, so that unambiguous instructions can be issued to personnel performing the duties to be required;	7.1.5b	●	<input type="checkbox"/>			
c) work being undertaken is controlled by regular review and corrective action;	7.1.5c	●	<input type="checkbox"/>			
d) the requirements of the contract or work order have been met?	7.1.5d	●	<input type="checkbox"/>			
When the inspection body uses information supplied by any other party as part of the inspection process, does it verify the integrity of such information?	7.1.6	●	<input type="checkbox"/>			

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Does the inspection body record observations or data obtained in the course of inspections in a timely manner so as to prevent loss of relevant information?	7.1.7	●	<input type="checkbox"/>			
Are calculations and data transfers subject to appropriate checks? <i>Note : Data can include textual material, digital data and anything else that is transferred from one location to another where errors could be introduced.</i>	7.1.8	●	<input type="checkbox"/>			
Does the inspection body have documented instructions for carrying out inspection in a safe manner?	7.1.9	●	<input type="checkbox"/>			
Handling inspection items and samples	7.2					
Does the inspection body ensure items and samples to be inspected are uniquely identified in order to avoid confusion regarding the identity of such items and samples?	7.2.1		<input type="checkbox"/>			
Does the inspection body establish whether the item to be inspected has been prepared?	7.2.2		<input type="checkbox"/>			
Is any apparent abnormalities notified to, or noticed by, the inspector recorded? Where there is any doubt as to the item's suitability for the inspection to be carried out, or where the item does not conform to the description provided, does the inspection body contact the client before proceeding?	7.2.3		<input type="checkbox"/>			
Does the inspection body have documented procedures and appropriate facilities to avoid deterioration or damage to inspection items while under its responsibility?	7.2.4	●	<input type="checkbox"/>			
Inspection records	7.3					
Does the inspection body maintain a record system (see 8.4) to demonstrate the effective fulfilment of the inspection procedures and to enable an evaluation of the inspection?	7.3.1	●	<input type="checkbox"/>			
Is the inspection report or certificate internally traceable to the inspector(s) who performed the inspection?	7.3.2		<input type="checkbox"/>			

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Inspection reports and inspection certificates	7.4					
Is the work carried out by the inspection body covered by a retrievable inspection report or inspection certificate?	7.4.1	●	<input type="checkbox"/>			
Do inspection reports/certificates include all of the following:	7.4.2	●	<input type="checkbox"/>			
a) identification of the issuing body;	7.4.2a	●	<input type="checkbox"/>			
b) unique identification and date of issue;	7.4.2b	●	<input type="checkbox"/>			
c) date(s) of inspection;	7.4.2c	●	<input type="checkbox"/>			
d) identification of the item(s) inspected;	7.4.2d	●	<input type="checkbox"/>			
e) signature or other indication of approval, by authorized personnel;	7.4.2e	●	<input type="checkbox"/>			
f) a statement of conformity where applicable;	7.4.2f	●	<input type="checkbox"/>			
g) the inspection results, except where detailed in accordance with 7.4.3? <i>Note : Optional elements that can be included in inspection reports or certificates are listed in Annex B.</i>	7.4.2g	●	<input type="checkbox"/>			
Does an inspection body issue an inspection certificate that does not include the inspection results [see 7.4.2 g)] only when the inspection body can also produce an inspection report containing the inspection results, and when both the inspection certificate and inspection report are traceable to each other?	7.4.3	●	<input type="checkbox"/>			
Does the inspection body record all information listed in 7.4.2 correctly, accurately, and clearly? Where the inspection report or inspection certificate contains results supplied by subcontractors, are these results clearly identified?	7.4.4	●	<input type="checkbox"/>			
Does the inspection body record corrections or additions to an inspection report or inspection certificate after issue in accordance with the relevant requirements of this subclause (7.4)? Does an amended report or certificate identify the report or certificate replaced?	7.4.5	●	<input type="checkbox"/>			

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Complaints and appeals	7.5					
Does the inspection body have a documented process to receive, evaluate and make decisions on complaints and appeals?	7.5.1		<input type="checkbox"/>			
Is a description of the handling process for complaints and appeals available to any interested party upon request?	7.5.2		<input type="checkbox"/>			
Upon receipt of a complaint, does the inspection body confirm whether the complaint relates to inspection activities for which it is responsible and, if so, shall deal with it?	7.5.3		<input type="checkbox"/>			
Is the inspection body responsible for all decisions at all levels of the handling process for complaints and appeals?	7.5.4		<input type="checkbox"/>			
Does investigation and decision on appeals not result in any discriminatory actions?	7.5.5		<input type="checkbox"/>			
Complaints and appeals process	7.6					
Does the handling process for complaints and appeals include at least the following elements and methods:	7.6.1a		<input type="checkbox"/>			
a) a description of the process for receiving, validating, investigating the complaint or appeal, and deciding what actions are to be taken in response to it;	7.6.1b		<input type="checkbox"/>			
b) tracking and recording complaints and appeals, including actions undertaken to resolve them;	7.6.1c		<input type="checkbox"/>			
c) ensuring that any appropriate action is taken?	7.6.1		<input type="checkbox"/>			
Is the inspection body receiving the complaint or appeal responsible for gathering and verifying all necessary information to validate the complaint or appeal?	7.6.2		<input type="checkbox"/>			

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Whenever possible, does the inspection body acknowledge receipt of the complaint or appeal, and provide the complainant or appellant with progress reports and the outcome?	7.6.3		<input type="checkbox"/>			
Is the decision to be communicated to the complainant or appellant made by, or reviewed and approved by, individual(s) not involved in the original inspection activities in question?	7.6.4		<input type="checkbox"/>			
Whenever possible, does the inspection body give formal notice of the end of the complaint and appeals handling process to the complainant or appellant?	7.6.5		<input type="checkbox"/>			
MANAGEMENT SYSTEM REQUIREMENTS	8					
Options	8.1					
<u>General</u> Does the inspection body shall 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					
Which option has the certification body adopted?				State option A or B		
<u>Option A</u> Does the management system of the inspection body address the following:	8.1.2		<input type="checkbox"/>			
<ul style="list-style-type: none"> - management system documentation (e.g. manual, policies, definition of responsibilities, see 8.2); - control of documents (see 8.3); - control of records (see 8.4); - management review (see 8.5); - internal audit (see 8.6); - corrective actions (see 8.7); - preventive actions (see 8.8); - complaints and appeals (see 8.5 and 8.6)? 	8.1.2		<input type="checkbox"/>			

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<u>Option B</u> Does an inspection 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)?	8.1.3		<input type="checkbox"/>			
Management system documentation (Option A)	8.2					
Does the inspection body's top management establish, document, and maintain policies and objectives for fulfilment of this International Standard and ensure the policies and objectives are acknowledged and implemented at all levels of the inspection body's organization?	8.2.1		<input type="checkbox"/>			
Does the 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?	8.2.2		<input type="checkbox"/>			
Does the inspection body's top management appoint a member of management who, irrespective of other responsibilities, have responsibility and authority that include the following:	8.2.3		<input type="checkbox"/>			
a) ensuring that processes and procedures needed for the management system are established, implemented and maintained; and	8.2.3a		<input type="checkbox"/>			
b) reporting to top management on the performance of the management system and any need for improvement?	8.2.3b		<input type="checkbox"/>			
Are all documentation, processes, systems, records, etc. related to the fulfilment of the requirements of this International Standard included, referenced, or linked to documentation of the management system?	8.2.4		<input type="checkbox"/>			
Does all personnel involved in inspection 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"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
Control of documents (Option A)	8.3					
Does the inspection 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		<input type="checkbox"/>			
a) approve documents for adequacy prior to issue;	8.3.2a		<input type="checkbox"/>			
b) review and update (as necessary) and re-approve documents;	8.3.2b		<input type="checkbox"/>			
c) ensure that changes and the current revision status of documents are identified;	8.3.2c		<input type="checkbox"/>			
d) ensure that relevant versions of applicable documents are available at points of use;	8.3.2d		<input type="checkbox"/>			
e) ensure that documents remain legible and readily identifiable;	8.3.2e		<input type="checkbox"/>			
f) ensure that documents of external origin are identified and their distribution controlled;	8.3.2f		<input type="checkbox"/>			
g) prevent the unintended use of obsolete documents, and apply suitable identification to them if they are retained for any purpose? <i>Note : Documentation can be in any form or type of medium, and includes proprietary and in-house developed software.</i>	8.3.2g		<input type="checkbox"/>			
Control of records (Option A)	8.4					
Does the inspection 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?	8.4.1		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Does the inspection body establish procedures for retaining records for a period consistent with its contractual and legal obligations? Is access to these records consistent with the confidentiality arrangements?	8.4.2		<input type="checkbox"/>			
Management review (Option A)	8.5					
<u>General</u>	8.5.1					
Does the inspection 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?	8.5.1.1		<input type="checkbox"/>			
Are these reviews conducted at least once a year? Alternatively, a complete review broken up into segments (a rolling review) shall be completed within a 12-month time frame.	8.5.1.2		<input type="checkbox"/>			
Are records of reviews maintained?	8.5.1.3		<input type="checkbox"/>			
<u>Review inputs</u> Does the input to the management review include information related to the following:	8.5.2		<input type="checkbox"/>			
a) results of internal and external audits;	8.5.2a		<input type="checkbox"/>			
b) feedback from clients and interested parties related to the fulfilment of this International Standard;	8.5.2b		<input type="checkbox"/>			
c) the status of preventive and corrective actions;	8.5.2c		<input type="checkbox"/>			
d) follow-up actions from previous management reviews;	8.5.2d		<input type="checkbox"/>			
e) the fulfilment of objectives;	8.5.2e		<input type="checkbox"/>			
f) changes that could affect the management system;	8.5.2f		<input type="checkbox"/>			
g) appeals and complaints?	8.5.2g		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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<u>Review outputs</u> Does the outputs from the management review include decisions and actions related to:	8.5.3		<input type="checkbox"/>			
a) improvement of the effectiveness of the management system and its processes;	8.5.3a		<input type="checkbox"/>			
b) improvement of the inspection body related to the fulfilment of this International Standard;	8.5.3b		<input type="checkbox"/>			
c) resource needs?	8.5.3c		<input type="checkbox"/>			
Internal audits (Option A)	8.6					
Does the inspection 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? <i>Note : ISO 19011 provides guidelines for conducting internal audits.</i>	8.6.1		<input type="checkbox"/>			
Is an audit programme planned, 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"/>			
Does the inspection body conduct periodic internal audits covering all procedures in a planned and systematic manner, in order to verify that the management system is implemented and is effective?	8.6.3		<input type="checkbox"/>			
Are internal audits performed at least once every 12 months? The frequency of internal audits may be adjusted depending on the demonstrable effectiveness of the management system and its proven stability.	8.6.4		<input type="checkbox"/>			
Does the inspection body ensure that:	8.6.5		<input type="checkbox"/>			
a) internal audits are conducted by qualified personnel knowledgeable in inspection, auditing and the requirements of this International Standard;	8.6.5a		<input type="checkbox"/>			
b) auditors do not audit their own work;	8.6.5b		<input type="checkbox"/>			

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c) personnel responsible for the area audited are informed of the outcome of the audit;	8.6.c		<input type="checkbox"/>			
d) any actions resulting from internal audits are taken in a timely and appropriate manner;	8.6.5d		<input type="checkbox"/>			
e) any opportunities for improvement are identified;	8.6.5e		<input type="checkbox"/>			
f) the results of the audit are documented?	8.6.5f		<input type="checkbox"/>			
Corrective actions (Option A)	8.7					
Does the inspection body establish procedures for identification and management of nonconformities in its operations?	8.7.1		<input type="checkbox"/>			
Does the inspection body, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence?	8.7.2		<input type="checkbox"/>			
Are corrective actions appropriate to the impact of the problems encountered?	8.7.3		<input type="checkbox"/>			
Does the procedures define requirements for the following:	8.7.4		<input type="checkbox"/>			
a) identifying nonconformities;	8.7.4a		<input type="checkbox"/>			
b) determining the causes of nonconformity;	8.7.4b		<input type="checkbox"/>			
c) correcting nonconformities;	8.7.4c		<input type="checkbox"/>			
d) evaluating the need for actions to ensure that nonconformities do not recur;	8.7.4d		<input type="checkbox"/>			
e) determining the actions needed and implementing them in a timely manner;	8.7.4e		<input type="checkbox"/>			
f) recording the results of actions taken;	8.7.4f		<input type="checkbox"/>			
g) reviewing the effectiveness of corrective actions?	8.7.4g		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Preventive actions (Option A)	8.8					
Does the inspection body establish procedures for taking preventive actions to eliminate the causes of potential nonconformities?	8.8.1		<input type="checkbox"/>			
Are 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		<input type="checkbox"/>			
a) identifying potential nonconformities and their causes;	8.8.3a		<input type="checkbox"/>			
b) evaluating the need for action to prevent the occurrence of nonconformities;	8.8.3b		<input type="checkbox"/>			
c) determining and implementing the action needed;	8.8.3c		<input type="checkbox"/>			
d) recording the results of actions taken;	8.8.3d		<input type="checkbox"/>			
e) reviewing the effectiveness of the preventive actions taken? <i>Note : The procedures for corrective and preventive actions do not necessarily have to be separate.</i>	8.8.3e		<input type="checkbox"/>			
Other HKAS Regulations						
The obligations of an accredited organisation						
After obtaining accreditation, will your inspection body at all times:-						
(a) conform with the accreditation criteria, including accreditation regulations specified in HKAS 002, technical and non-technical requirements and other conditions as specified by HKAS Executive under it terms of accreditation;	HKAS 002 5.1a		<input type="checkbox"/>			
(b) represent honestly and truthfully to any person concerned that it is only accredited for activities stated in the scope of accreditation;	HKAS 002 5.1b		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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(c) pay the fees and charges as determined by HKAS Executive;	HKAS 002 5.1c		<input type="checkbox"/>			
(d) endeavour to ensure that the accreditation granted by HKAS is not used in a misleading manner;	HKAS 002 5.1d		<input type="checkbox"/>			
(e) be a legal entity;	HKAS 002 5.1e		<input type="checkbox"/>			
(f) conform with the Business Registration Ordinance (Cap 310) and provide a copy of its business registration certificate to HKAS Executive if such legislation is applicable to the organisation?	HKAS 002 5.1f		<input type="checkbox"/>			
For any customers for which your inspection body performs any accredited activity, does your inspection 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 inspection body maintain the same quality standard at all times, no matter whether or not the HKAS accreditation symbol is used in the report or certificate covering the result of such activity?	HKAS 002 5.2		<input type="checkbox"/>			
When making any statement in relation to your inspection body's accreditation status in situation where non-accredited activities are mentioned, will your inspection body ensure that such a statement is accompanied by a statement indicating which activities are not accredited?	HKAS 002 5.3		<input type="checkbox"/>			
Is your inspection 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."?	HKAS 002 5.4		<input type="checkbox"/>			
Will your inspection 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 the inspection body's competence and its conformity with the accreditation criteria?	HKAS 002 5.5		<input type="checkbox"/>			
Upon the request of HKAS Executive, will your inspection body provide HKAS Executive with a copy of the documentary standard for which it seeks HKAS accreditation for use during the assessment?	HKAS 002 5.5		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
Does your inspection body ensure that it will use its accreditation status only in a manner that will not bring HKAS or any of its accreditation schemes into disputes and will not make any statement regarding its accreditation status that HKAS Executive may reasonably consider it to be misleading?	HKAS 002 5.6		<input type="checkbox"/>			
Does your inspection body maintain complete integrity and impartiality in all circumstances? Does your inspection body issue and implement a pertinent code of conduct for all its directors, officers, employees and other personnel involved in its operation? 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 HKASR)?	HKAS 002 5.7		<input type="checkbox"/>			
Will your inspection body notify HKAS Executive within one calendar month if a new authorised representative has been appointed?	HKAS 002 5.8		<input type="checkbox"/>			
Will the authorised representative or in his absence, other responsible person of the inspection body inform HKAS Executive in writing immediately of any changes or intended changes in the inspection body's circumstances which may affect its conformity with relevant accreditation criteria?	HKAS 002 5.9		<input type="checkbox"/>			
Is your inspection body aware of 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."?	HKAS 002 5.10		<input type="checkbox"/>			
Does your inspection 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?	HKAS 002 5.11		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Are all communications concerning the inspection body's assessment made between the authorised representative or his/her representative or its chief executive or his/her representative and HKAS Executive?	HKAS 002 5.11		<input type="checkbox"/>			
Does your inspection 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 inspection body further ensure that the policy is made known to all its personnel?	HKAS 002 5.12		<input type="checkbox"/>			
Does your inspection body have a policy and procedure in writing for handling and resolving complaints, disputes and appeals made to it by its customers or other parties?	HKAS 002 5.13		<input type="checkbox"/>			
Does your inspection 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?	HKAS 002 5.13		<input type="checkbox"/>			
Where a complaint, dispute or appeal made to your inspection body by its customers or other parties raise any doubt on its conformity with its policies or procedures, will your inspection body ensure that the relevant areas of its accredited activities are promptly audited?	HKAS 002 5.14		<input type="checkbox"/>			
If a complaint, dispute or appeal made to your inspection body by its customers or other parties relating to any of its accredited activities is not satisfactorily resolved within 60 days from the date of receipt, will your inspection body notify HKAS Executive in writing of this matter?	HKAS 002 5.15		<input type="checkbox"/>			
Is your inspection body aware that any concerned party may lodge complaints with HKAS on any accredited activities carried out by an accredited organisation.?	HKAS 002 5.16		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
Is your inspection 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.	HKAS 002 5.17		<input type="checkbox"/>			
Is your inspection 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.	HKAS 002 5.18		<input type="checkbox"/>			
Use of HKAS accreditation symbols and claims of accreditation status						
Is your inspection body aware of the following HKAS regulations:			<input type="checkbox"/>			
"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:-	HKAS 002 8.1		<input type="checkbox"/>			
(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"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Is your inspection body aware of that an accredited organization 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"/>			
Does your inspection body ensure that its customers, on receiving any HKAS endorsed report are aware that the subject of the activity (e.g. the sample, instrument, product, design or system tested, calibrated, certified or inspected) as referred to in such report or certificate is in no way approved nor disapproved by HKAS or HKAS Executive?	HKAS 002 8.2		<input type="checkbox"/>			
Upon suspension or termination of the accreditation of any activities carried out by an accredited inspection body, regardless of whether it is voluntarily made, will your inspection body discontinue to make reference to the accreditation status of the inspection body in any report, certificate, statement and other document reporting conformity assessment results, letterhead, brochure, advertising material, stationery, and Internet websites, etc. immediately?	HKAS 002 8.3		<input type="checkbox"/>			
Specific regulations for HKAS						
Has your inspection 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?	HKAS SC-06 2.1		<input type="checkbox"/>			
Does the code of conduct cover at least the following aspects:						
(a) solicitation and acceptance of advantage;	HKAS SC-06 2.2a		<input type="checkbox"/>			
(b) offer of advantage;	HKAS SC-06 2.2b		<input type="checkbox"/>			
(c) entertainment;	HKAS SC-06 2.2c		<input type="checkbox"/>			
(d) compliance with laws of Hong Kong or of relevant jurisdictions;	HKAS SC-06 2.2d		<input type="checkbox"/>			
(e) compliance with relevant requirements of applicable professional standards;	HKAS SC-06 2.2e		<input type="checkbox"/>			

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(f) conflict of interest;	HKAS SC-06 2.2f		<input type="checkbox"/>			
(g) use of company assets;	HKAS SC-06 2.2g		<input type="checkbox"/>			
(h) confidentiality of company information;	HKAS SC-06 2.2h		<input type="checkbox"/>			
(i) outside employment;	HKAS SC-06 2.2i		<input type="checkbox"/>			
(j) relationship with customers, suppliers and contractors;	HKAS SC-06 2.2j		<input type="checkbox"/>			
(k) procedures for reporting suspected violation and established mechanism for the prompt and fair adjudication of alleged violations; and	HKAS SC-06 2.2k		<input type="checkbox"/>			
(l) disciplinary actions to be taken against violations.	HKAS SC-06 2.2l		<input type="checkbox"/>			
Does your inspection 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?	HKAS SC-06 2.3		<input type="checkbox"/>			
Does your inspection body ensure that all its directors, staff and other personnel working for it understand and practice the code of conduct?	HKAS SC-06 3.1		<input type="checkbox"/>			
Has your inspection 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?	HKAS SC-06 3.2		<input type="checkbox"/>			
Does your inspection body periodically remind all personnel working for it the code of conduct?	HKAS SC-06 3.3		<input type="checkbox"/>			
Is the code of conduct accessible to all personnel working for the organisation?	HKAS SC-06 3.4		<input type="checkbox"/>			
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?	HKAS SC-06 3.5		<input type="checkbox"/>			

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Does your inspection body periodically review the code's suitability and adequacy; and implement improvement as appropriate?	HKAS SC-06 3.6		<input type="checkbox"/>			
Specific regulations for HKIAS						
Does your inspection body ensure that its accreditation status will not use in a way that may be interpreted by any person that any product, design, system or any other subject of inspection has been approved or disapproved by HKAS or HKAS Executive? Will your inspection body further endeavor to ensure that no person use any inspection certificate or report issued by it in a misleading manner?	HKIAS SC-05 3.2		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation on subcontracting: "If an accredited inspection body intends to subcontract any part of its activities to which HKIAS accreditation has been granted, it shall ensure that the organisation to which the activities will be subcontracted is accredited for performing the activities by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS. A list of such accreditation bodies is obtainable from the office of HKAS Executive. The inspection body shall notify the customer concerned in writing of its intention to subcontract the activities and the extent of such subcontract. The inspection body shall further ensure that the customer agrees to such arrangement and shall keep records showing the agreement of the customer to such arrangement. Where the activities concerned of the subcontractor is not accredited by HKAS or an accreditation body which has concluded a mutual recognition arrangement/agreement with HKAS, the inspection body shall include a statement describing such fact in the inspection report or certificates."?	HKIAS SC-05 3.3		<input type="checkbox"/>			
Does your inspection body take part in proficiency testing programmes which are relevant to its scope of accreditation organised or specified by HKAS Executive unless it can demonstrate that it has already participated in alternative programmes which are acceptable to HKAS Executive?	HKIAS SC-05 3.4		<input type="checkbox"/>			
Is the performance of your inspection body in any proficiency testing activities relevant to its scope of accreditation acceptable to HKAS Executive?	HKIAS SC-05 3.4		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Is your inspection body aware of the following HKAS regulation on approved signatory: "An applicant inspection body shall nominate persons to HKAS Executive for approval as approved signatories for signing HKIAS endorsed reports and certificates for every inspection activity for which it seeks accreditation. Accreditation for such activity will not be granted unless HKAS Executive is satisfied that at least one nominee meets the requirements for approved signatories as laid down in the accreditation criteria. An accredited inspection body shall maintain at least one approved signatory for each accredited inspection activity. Additional persons may be nominated by an accredited inspection body to HKAS Executive for approval as approved signatories at any time."?	HKIAS SC-05 3.5		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation on approved signatory: "An accredited inspection body shall inform HKAS Executive of any change in the availability and duties of any of its HKIAS approved signatories. HKAS Executive shall withdraw the approval concerning such approved signatory who no longer meets the requirements for approved signatories as laid down in the accreditation criteria. HKAS Executive may suspend the accreditation of an inspection body for an inspection activity if it does not have any approved signatory for such activity and has failed to obtain HKAS Executive approval for a new signatory within three months from the date when it ceased to have any approved signatory for such activity."?	HKIAS SC-05 3.6		<input type="checkbox"/>			
Will the authorised representative of your inspection body, within 14 days from the effective date of any suspension or termination (voluntarily or by HKAS Executive), identify the customers to whom your inspection body has issued inspection results which are found to be unreliable because of the deficiencies which have been brought to light and inform them that the results are unreliable?	HKIAS SC-05 4.1		<input type="checkbox"/>			
Is your inspection 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."?	HKAS 002 2.10		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Is your inspection body aware of the following HKAS regulation: "An accredited inspection body may display the HKIAS accreditation symbol in a report or certificate issued by it for reporting the results of an inspection accredited under HKIAS. Such a document is referred to hereafter as a HKIAS endorsed inspection report or certificate. A HKIAS endorsed report or certificate shall contain the HKIAS accreditation symbol and other details as described in clause 5.2 below."?	HKIAS SC-05 5.1		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation on the use of HKAS accreditation symbols and claims of accreditation status: "An accredited inspection body shall include in a HKIAS endorsed report or certificate the following:-	HKIAS SC-05 5.2		<input type="checkbox"/>			
(a) the HKIAS accreditation symbol (which include the inspection body's registration number) at the top right hand corner of the front page. For reports and certificates issued for internal use and where it is technically not possible or very difficult to display the accreditation symbol on a report or certificate, endorsement may be made with the statements in (b) below without displaying the accreditation symbol. Such endorsement without displaying the accreditation symbol is subject to prior written agreement by HKAS Executive, and	HKIAS SC-05 5.2 a		<input type="checkbox"/>			
(b) on the same page the following statement :- "Hong Kong Accreditation Service (HKAS) has accredited this inspection body under the Hong Kong Inspection Body Accreditation Scheme (HKIAS) for specific inspection activities as listed in the HKIAS directory of accredited inspection bodies. The results shown in this report (or certificate, where appropriate) were determined by this inspection body in accordance with its terms of accreditation"."	HKIAS SC-05 5.2 b		<input type="checkbox"/>			
Does your inspection body ensure the term "HKIAS" and the HKIAS accreditation symbol will not use on any report or certificate except in a HKIAS endorsed inspection report or certificate?	HKIAS SC-05 5.3		<input type="checkbox"/>			
Does your inspection body ensure that the form, size, colour and usage of the HKIAS accreditation symbol are in accordance with HKAS Supplementary Criteria No. 1?	HKIAS SC-05 5.4		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
Is your inspection body aware of the following HKAS regulation: “A HKIAS endorsed report or certificate shall be signed by a HKIAS approved signatory of the issuing inspection body. For printed reports or certificates, such signature shall be made in hand-written form. For reports or certificates in an electronic form, the signature shall be in the form of an electronic signature acceptable under the Electronic Transaction Ordinance (Cap. 553). The full name of the approved signatory (as in his/her identify document such as identity card or passport) shall be clearly shown alongside the signature.”?	HKIAS SC-05 5.5		<input type="checkbox"/>			
Other arrangements of signing HKIAS endorsed reports or certificates may be accepted subject to agreement from HKAS Executive. When determining the acceptability of such an arrangement, HKAS Executive will consider all pertinent factors such as the reliability of the arrangement in ensuring proper and traceable authorisation by approved signatories and the demand of users of the accredited service.	HKIAS SC-05 5.5		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "A HKIAS endorsed inspection report or certificate may contain signatures of others provided that the inspection body's HKIAS approved signatory has signed the report or certificate.”?	HKIAS SC-05 5.6		<input type="checkbox"/>			
Except as permitted in clause 5.8, does your inspection body ensure that HKIAS endorsed inspection reports and certificates issued by it contain only results of accredited activities, i.e. within the inspection body's scope of accreditation?	HKIAS SC-05 5.7		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "The result of the following activities shall only be included in a HKIAS endorsed report or certificate if HKAS Executive has explicitly approved such inclusion in writing:-	HKIAS SC-05 5.8		<input type="checkbox"/>			
(a) results of any activity for which the inspection body is not holding valid HKIAS accreditation;	HKIAS SC-05 5.8 a		<input type="checkbox"/>			
(b) results of any activity performed by a subcontractor which is not accredited by HKAS nor an accreditation body recognised by HKAS through a mutual recognition agreement; or	HKIAS SC-05 5.8 b		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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(c) results of any activity which is not performed by an approved inspector if HKAS has implemented an approved inspector system for the activity concerned.	HKIAS SC-05 5.8 c		<input type="checkbox"/>			
The accredited inspection body which includes the result of any of the above activities in any endorsed inspection report or certificate shall in all cases state clearly on the endorsed inspection report or certificate that such activity is not accredited."?	HKIAS SC-05 5.8		<input type="checkbox"/>			
If a HKIAS endorsed inspection report or certificate issued by your inspection body contains results supplied by a subcontractor, will your inspection body identify in such a report or certificate the activities which are performed by the subcontractor?	HKIAS SC-05 5.9		<input type="checkbox"/>			
Does your inspection body keep at least one exact copy of every HKIAS endorsed inspection report or certificate issued by it for record? Does your inspection body also keep such copies, all original observations and records in relation to any accredited inspection performed by it for a period of not less than three years or for a period specified by the HKAS Executive?	HKIAS SC-05 5.10		<input type="checkbox"/>			
Does your inspection body ensure that every HKIAS endorsed inspection report or certificate conform with the accreditation criteria as specified by HKAS Executive from time to time?	HKIAS SC-05 5.11		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "A HKIAS endorsed inspection report and certificate shall bear either:-	HKIAS SC-05 5.12		<input type="checkbox"/>			
(a) a statement indicating that such report or certificate shall not be reproduced except in full, or	HKIAS SC-05 5.12 a		<input type="checkbox"/>			
(b) a statement indicating the conditions under which such report or certificate may be reproduced either in full or in part.	HKIAS SC-05 5.12 b		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
					Documents inspected	Remarks / observations
Any extract or abstract of a HKIAS endorsed inspection report or certificate shall not contain the HKIAS accreditation symbol nor other details as specified in clause 5.2 above unless the authorised representative of the accredited inspection body which issues the report or certificate has approved in writing of such inclusion in the extract or abstract. The authorised representative, if granting approval under this clause, shall ensure that such extract or abstract will not be used for any purpose which HKAS Executive may consider it as having misleading effect."?	HKIAS SC-05 5.12		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "An accredited inspection body may issue a HKIAS endorsed report or certificate which extend the results of an inspection on a sample or samples to the properties or quantities of the inspected lot, batch or consignment from which the sample(s) were drawn provided that:-	HKIAS SC-05 5.13		<input type="checkbox"/>			
(a) the accredited inspection body's scope of accreditation includes the sampling involved; and	HKIAS SC-05 5.13		<input type="checkbox"/>			
(b) where applicable, the sample(s) concerned were taken by an approved inspector of the accredited inspection body by using an accredited sampling plan and procedure."?	HKIAS SC-05 5.13		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "A HKIAS endorsed inspection report or certificate may include statements in amplification of results reported therein provided that:-	HKIAS SC-05 5.14		<input type="checkbox"/>			
(a) if a statement on the conformity of an inspected sample or the lot, batch or consignment from which the sample was drawn with specified general requirements is made, the accredited inspection body shall include sufficient information required for the understanding and interpretation of such statement in such report or certificates; and	HKIAS SC-05 5.14 a		<input type="checkbox"/>			
(b) any additional statement interpreting the results shall be limited to explaining whether or not the subject of inspection conforms with and the manner or degree it departs from the specification stated on such report or certificate."?	HKIAS SC-05 5.14 b		<input type="checkbox"/>			

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HKIAS Requirement	Clause	*	OK	QM Clause	OFFICE USE ONLY	
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Is your inspection body aware of the following HKAS regulation: "If any opinion which is not supported by objective evidence or any statement in amplification of the inspection results other than those allowed in clause 5.14 above is to be included in a HKIAS endorsed inspection report or certificate, the accredited inspection body shall include a statement in such report or certificate which states clearly that the inspection body is not accredited for providing such opinion or statement."?	HKIAS SC-05 5.15		<input type="checkbox"/>			
Is your inspection body aware of the following HKAS regulation: "Application for any HKIAS service from HKAS shall be made in appropriate forms. These forms are downloaded at the HKAS website."?	HKIAS SC-05 6.1		<input type="checkbox"/>			

End

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