



Hong Kong Inspection Body Accreditation Scheme

HKIAS 007

Assessment/Reassessment Questionnaire for Inspection Bodies

For an initial application for accreditation or an application for extension of scope of accreditation, this questionnaire should be completed and returned to HKAS Executive together with the application form HKIAS 005 and all relevant documents as listed in the checklist on page 2. HKAS Executive will only process an initial application for accreditation or an application for extension of scope of accreditation when completed forms (HKIAS 005 and HKIAS 007) and the required application fee are received.

For a reassessment, the accredited inspection body is also required to complete and submit this questionnaire together with relevant documents to HKAS Executive at least one month before the scheduled date of reassessment.

Fees payable for the assessments are calculated in accordance with HKIAS 006.

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

HKAS 002
HKAS SC-06
HKIAS SC-05
HKIAS 003: 2017

HONG KONG ACCREDITATION SERVICE

36/F., Immigration Tower, 7 Gloucester Road, Wanchai, Hong Kong.

Tel : 2829 4840

Fax : 2824 1302

E-mail : hkas@itc.gov.hk

- Notes:
1. Any personal data provided in this form will be retained and used by HKAS for accreditation purpose only. The personal data may be disclosed to members of the assessment team.
 2. It is obligatory for you to provide all the personal data requested in this form. If you do not provide sufficient information, we may not be able to process the application.
 3. The data subjects have the rights to obtain a printed copy of their own personal data held by HKAS and request for correction of their personal data. Please contact HKAS at the above address for access to and correction of your personal data.

List of Documents to be submitted⁴

(Please tick the boxes below as appropriate)

This Questionnaire is for:

- Initial Assessment Extension of Scope Reassessment

List of Attachments (for initial assessment and extension of scope only)

- Application fees⁵ in the form of a cheque or an *e-Cheque payable to **The Government of the Hong Kong Special Administrative Region**.

*Application fee can be paid by e-Cheque through 'Pay e-Cheque' portal <https://www.payecheque.gov.hk>. Please contact HKAS if special arrangement is required.

- Documents authenticating that the inspection body is a valid legal entity or part of a valid legal entity.
- Liability insurance certificate (not applicable to inspection bodies whose liability is assumed by the State in accordance with national laws)
- Documents describing the conditions on which the applicant inspection body does business (not applicable to inspection bodies providing service only to its parent organisation)
- Management system manual
- Operation procedure manuals⁶
- Latest audit schedule
- Summary of the findings of the latest management review
- Records for identifying risks to the inspection body's impartiality
- Inspection procedure manual(s) and normative reference, where applicable
- Method verification/validation report, where applicable
- CV and a copy of qualification documents for each nominee for signatory/inspector approval⁷
- Inspection body organisation chart(s)⁸, with names, positions and responsibilities of key personnel clearly identified
- Sample inspection records/reports and inspection certificates^{9,10}
- Code of conduct
- Other documents (please specify)

Notes:

4. For a reassessment, the required documents are listed in the IF07 form which will be provided to the organisation separately.
5. An application fee will be charged for an initial application and an application for extension of scope of accreditation. No application fee is required for a reassessment. In addition to the application fee, an on-site assessment fee will be charged. The inspection body will be informed of the exact amount of assessment fee once the on-site assessment has been arranged.
6. Operation procedure manuals refer to supporting procedures of the management system manual.
7. Specific requirements for an approved signatory/inspector in a certain technical discipline are specified in the relevant HKAS/HKIAS accreditation criteria or supplementary criteria.
8. Please provide a copy of the organisation chart(s) of the inspection body, including the division/unit in which the inspection activities to be assessed is performed. The chart should show the relationship between the inspection body and its parent and/or sister organisation(s), where applicable.
9. Please provide copies of representative reports/certificates and the associated raw inspection data records for the inspection activities to be assessed. These records should preferably contain inspection results of real inspections and should be recent.
10. For application for accreditation and application for extension of scope of accreditation, the selection of sample records is at the discretion of the inspection body. It is not necessary to provide a separate sample record for every inspection activity. Inspection activities with similar record formats may be represented by a common sample record. For each inspection activity, the identification number of the sample record selected should be entered in the 'Sample inspection record/report/certificate' columns in the 'Scope of Accreditation Sought' table in HKIAS 007 Annex I.

SCOPE OF ACCREDITATION

For an initial application for accreditation or an application for extension of scope of accreditation, the inspection activities proposed for accreditation shall be detailed in HKIAS 007 Annex I –Scope of Accreditation Sought.

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

For any voluntary suspension/termination of inspection activities from the Scope of Accreditation, a copy of HKAS 009 – Notification of Changes shall be completed and returned together with the confirmed Scope of Accreditation to be reassessed to HKAS Executive.

General Information

Organisation name
(See Note 11)

Inspection body name
(See Note 12)

Date of inspection body formation

Inspection body physical address

Hong Kong Kowloon N.T.

Telephone

Fax

E-mail

Correspondence address

Hong Kong Kowloon N.T.

Telephone

Fax

E-mail

Questionnaire completed by

Name

Position

Telephone

Fax

E-mail

Authorised representative

Name

Position

Address
(if different from the correspondence address)

Hong Kong Kowloon N.T.

Telephone

Fax

E-mail

Notes:

- 11 – The organisation's name should be the name of the legal entity that owns the inspection body. It may be a government department, instrumentality, company, person operating an inspection body or other types of legal entities.
- 12 – The name used by the organisation to identify the inspection body.

Regulations for HKAS Accreditation (HKAS 002)

The Obligations of an Applicant or Accredited Organisation (HKAS 002, Section 5)

Was there any convicted case of unlawful act related to integrity and impartiality of your organisation, management and/or staff in the past 24 months?

- No.
- Yes. Details are provided below. (Please use additional sheet if necessary)

Declaration of the Authorised Representative

I, the undersigned, declare that the information given in this questionnaire is correct to the best of my knowledge and belief.

Signature of the Authorised Representative

Date

General Requirements (HKIAS 003: 2017, Section 4)

Impartiality and Independence (HKIAS 003: 2017, Section 4.1)

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

Please state which type of inspection body, i.e. A, B, or C, is the applicant inspection body.

(Please refer to Annex A of HKIAS 003:2017.)

Confidentiality (HKIAS 003: 2017, Section 4.2)

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

Structural Requirements (HKIAS 003: 2017, Section 5)

Administrative requirements (HKIAS 003: 2017, Section 5.1)

Legal status

Please give details of the legal status of the organisation for which accreditation is granted or sought.

Is your organisation:

- a government department?
- a statutory body?
- a private limited company?
- an unlimited company?
- a sole proprietor or partnership organisation?
- other? (please specify)

If the inspection body is a part of the organisation, please give details of the line of authority and the relationship of other parts within the same organisation.

Other activities

Does your organisation conduct other activities in addition to inspection? If yes, please give details on those activities.

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Customers

Does the inspection body provide service

- internally? Yes No
- to the public? Yes No

Percentage of work

Inspection body size

What is the total number of staff members?

What is the number of permanent inspectors and where they reside?

What is the number of part-time inspectors and where they reside?

Liability

Please state below the method adopted to protect the inspection body against potential liability arising from its operation. If it is covered under an insurance policy, please state the validity period of the policy, insured amount, the coverage and the name of the insurance company. A copy of the insurance certificate should be provided.

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Organisation and Management (HKIAS 003: 2017 Clause 5.2)

Technical Manager

(Please refer to clause 5.2.5 of HKIAS 003: 2017 for the definition of technical manager. If there is more than one technical manager for inspection activities covered in the scope of accreditation, please provide their details in separate sheets.)

Name

Position

Qualification and experience

Date of appointment

Management Representative

(Please refer to clause 8.2.3 of HKIAS 003: 2017 for the definition of management representative.)

Name

Position

Qualification and Experience

Date of appointment

Resource Requirements (HKIAS 003: 2017, Section 6)

Personnel (HKIAS 003: 2017, Section 6.1)

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

Name

Position

Qualifications

Experience

Date appointed to division/unit

Person to whom the officer-in-charge reports

Name

Position

Person(s) responsible for reviewing the inspection records, reports or certificates

(Attached extra sheets if necessary)

Name

Position

Qualifications

Experience

Date appointed to division/unit

Resource Requirements (cont'd) (HKIAS 003:2017, Section 6)

Personnel (cont'd) (HKIAS 003: 2017, Section 6.1)

Changes in key personnel (applicable to reassessment only)

Please give details of any change in key personnel relating to the scope of accreditation to be reassessed since the initial assessment or the last reassessment. If there is any change(s) in approved personnel from those listed in the last notification letter, please also submit HKAS 009 – Notification of Changes.

Name	Current or Last Position	Details of changes	Effective Date	Follow up actions, if any

Nominees for signatory approval

Please list below the person(s) to be considered by HKAS Executive as approved signatories of HKIAS endorsed inspection reports/certificates. (Please refer to Section 7.4.I of HKIAS 003:2017 for requirements of approved signatory.)

Name	Types of inspection	Existing approved signatory? (Y/N)

Resource Requirements (cont'd) (HKIAS 003: 2017, Section 6)

Personnel (cont'd) (HKIAS 003: 2017, Section 6.1)

Nominees for inspector approval (applicable to specific inspection field(s) only)

Please list below the person(s) to be considered by HKAS Executive as approved inspectors. (Please refer to Section 6.1.I of HKIAS 003: 2017 for requirements of approved inspectors.)

Name	Product Types	Types of Inspection	Existing approved inspector? (Y/N)

Resource Requirements (cont'd) (HKIAS 003: 2017, Section 6)

Facilities and Equipment (HKIAS 003: 2017, Section 6.2)

Please provide below or in separate page(s) a list of reference equipment, reference materials and major inspection equipment, including its calibration and verification schedules for the inspection activities to be assessed.

Description, make, model, range	Code#	Calibration/ verification interval	Last calibration date	Last verification date	Internal*/ External@

* For equipment calibrations/verifications performed internally by staff of the inspection body, the HKAS Executive may require the inspection body to provide a copy of its internal calibration/verification procedures and a calibration assessor may be invited to the assessment.

Code : RE = reference equipment RM = reference materials; IE = major inspection equipment

@ Please list the name of the calibration laboratory and the accreditation body which accredits the calibration laboratory where applicable.

Management System Requirements (HKIAS 003: 2017, Section 8)

Options (HKIAS 003: 2017, Section 8.1)

Please indicate the approach of the inspection body in fulfilling the management system requirements of HKIAS 003:2017.

Option A – to maintain a management system that addresses Sections 8.2 to 8.8 of HKIAS 003: 2017 and capable of supporting and demonstrating the consistent achievement of the requirements of HKIAS 003: 2017 and assuring the quality of the inspection results

Option B – to maintain 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 Sections 4 to 7 of HKIAS 003: 2017, also fulfils at least the intent of the management system requirements specified in Clause 8.2 to 8.8 of HKIAS 003: 2017

For option B, certification to ISO 9001 is not mandatory. However, if possible, please provide a copy of the ISO 9001 certificate for reference if it is available. Any further comments should be stated below:

Any other supplementary information should be provided below:

Proficiency Testing Activities

Please describe briefly the proficiency testing or inter-inspection-body comparison that the applicant inspection body has participated. (Please refer to Clause 3.4 of HKIAS Supplementary Criteria No. 5 for requirements of proficiency testing.)

Name of the PT scheme, if relevant, and inspection item	Date of participation	Date of PT report issued	Performance of your inspection body		Remark, including any corrective action taken
			Number of satisfactory results	Number of reported results	

Replicate this sheet if required.

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

Annex II – Checklist