

HKIAS IN001
Issue No. 3
Issue Date: 29 October 2024
Implementation Date: 29 October 2024
Page 1 of 4

HKIAS Information Notes No. 1

Application Procedures for HKIAS Accreditation (*Informative*)

This document provides a summary of the procedures for accreditation of inspection bodies under HKIAS. Detailed accreditation procedures are given in Chapter 4 of HKAS 002 'Regulations for HKAS Accreditation'.

STEP 1 - SUBMISSION OF APPLICATION

- (i) A potential applicant organisation contacts HKAS Executive in writing.
- (ii) For an initial application for accreditation, HKAS Executive provides an appropriate HKAS accreditation criteria document as shown below to the potential applicant organisation upon request:

HKIAS 003: 2017 (Incorporating Amendment No. 1: September 2021)
Technical Criteria for Accreditation of Inspection Bodies

This is the key document consisting of the criteria for accreditation. It consists of the ISO/IEC 17020: 2012* requirements and the HKIAS Policy on the requirements. Because of copyright issue, only an abridged version of [HKIAS 003: 2017](#) (without the ISO/IEC 17020: 2012 requirements) is available on our website. Hardcopy of the full version of HKIAS 003: 2017 is available upon request of potential applicants and relevant parties.

*Note: ISO/IEC 17020: 2012 can be purchased through the Quality Services Division of the Innovation and Technology Commission (ITC).

Other HKAS published documents are available at HKAS website (www.hkas.gov.hk) for free download.

- (iii) The applicant organisation submits an application including the following documents to HKAS Executive:
 - (a) A completed HKIAS 005 'Application for Accreditation of an Inspection Body (IB) / Application for Extension of Scope of Accreditation of an IB (HKIAS 005)';
 - (b) A completed Assessment/Reassessment Questionnaire (HKIAS 007, with Annex I and Annex II) together with the required documents; and

HKIAS IN001
Issue No. 3
Issue Date: 29 October 2024
Implementation Date: 29 October 2024
Page 2 of 4

- (c) An appropriate application fee as stated in HKIAS 006.

STEP 2 - PRELIMINARY VISIT [For an initial application only]

- (i) After reviewing the documents submitted by the applicant organisation, HKAS Executive arranges a preliminary visit to the organisation to:
 - (a) answer any queries regarding HKAS accreditation requirements and procedures,
 - (b) identify any obvious nonconformities with the accreditation criteria,
 - (c) evaluate the organisation's readiness for a HKIAS assessment visit, and
 - (d) determine an appropriate schedule for the initial assessment visit to the organisation.
- (ii) Where necessary, the applicant organisation submits additional/revised documents as required by HKAS Executive after the preliminary visit.

STEP 3 - PREPARATION FOR ASSESSMENT

- (i) The assessment team leader may ask the applicant organisation for further information during document review. HKAS Executive may decide not to proceed with the initial assessment visit if the team leader has identified a critical or significant nonconformity during document review and/or the preliminary visit. HKAS Executive will then inform the applicant organisation in writing.
- (ii) HKAS Executive selects suitable technical assessor(s)/expert(s) to undertake the on-site assessment of the organisation.
- (iii) The assessment team leader proposes the date(s) of on-site assessment for the applicant organisation's agreement.

NOTE: An applicant organisation may object to the appointment of any assessment team member only if it can provide a valid reason.

HKIAS IN001
Issue No. 3
Issue Date: 29 October 2024
Implementation Date: 29 October 2024
Page 3 of 4

STEP 4 -ON-SITE ASSESSMENT VISIT

- (i) The assessment team conducts the on-site assessment at the inspection body's facility.

NOTE: All key personnel shall be available for interview during the assessment visit.

- (ii) Upon completion of the on-site assessment, the assessment team provides the management of the organisation an assessment report which includes:
- the assessment team's recommendation on granting accreditation to the applicant organisation for all or part of the activities shown in the scope of accreditation sought;
 - a list of actions, where applicable, to be undertaken by the applicant organisation before HKAS Executive makes a decision on granting accreditation to the applicant organisation; and
 - details of follow-up actions to be taken by HKAS Executive.

STEP 5 - ASSESSMENT OUTCOME

- (i) For an initial assessment or an assessment under a new inspection field, the assessment report is reviewed by HKAS Executive as well as Accreditation Advisory Board (AAB). After review, HKAS Executive will issue the assessment results to the applicant organisation through an outcome letter.
- (ii) For an assessment for extending the scope of accreditation under an inspection field for which the organisation has already been accredited, HKAS Executive will normally review the assessment report. Any amendment to the assessment report will be issued to the accredited organisation within 10 working days of the assessment.
- (iii) In most cases, specific matters which require the applicant/accredited organisation's attention before accreditation can be further considered are listed in the assessment report and/or the outcome letter.

HKIAS IN001
Issue No. 3
Issue Date: 29 October 2024
Implementation Date: 29 October 2024
Page 4 of 4

STEP 6 - REMEDIAL ACTIONS (if required)

- (i) Upon receipt of a written reply from an applicant/accredited organisation that all required actions have been taken, HKAS Executive takes an appropriate action. The assessment team may confirm the actions undertaken by the applicant/accredited organisation through reviewing the documents submitted by the applicant/accredited organisation and, where necessary, conducting a follow-up visit to the organisation. Under certain circumstances, the assessment team conducts a full on-site assessment again.
- (ii) Once all actions undertaken by the applicant/accredited organisation are acceptable, HKAS Executive makes a decision on granting accreditation to the organisation by issuing a formal notification letter, which includes the scope of accreditation. Then, HKAS Executive issues a certificate of accreditation to the organisation if accreditation is granted under a new inspection field.

STEP 7 - AFTER GRANTING ACCREDITATION

- (i) After accreditation is granted to an inspection body, HKAS Executive will conduct reassessments and surveillance visits to such organisation in accordance with HKIAS SC-05. The purpose of the reassessments and surveillance visits is to ensure that the accredited inspection body maintain its competence for performing specific inspection activities in accordance with the accreditation criteria.
- (ii) An inspection body may apply to HKAS Executive for extending or reducing its scope of accreditation. It may also apply for adding its staff member(s) to or removing its staff member(s) from the list of HKIAS approved personnel and such changes are normally processed by an assessment team during an on-site assessment.
- (iii) Under Regulations for HKAS Accreditation, an applicant/accredited organisation is required to notify HKAS Executive immediately in writing of any changes in the organisation's circumstances which may affect its continued compliance with HKAS accreditation requirements. Examples of such changes are given in Clause 5.9 of HKAS 002.

END