

HKCAS AP001

HKAS Application Package

– Accreditation of Management System Certification Bodies

(申請指南中文版本見第 5 頁)

This document provides information relating to the processing of an application for accreditation of a management system certification body which provides management system certification services. Any management system certification body which is interested in seeking HKAS accreditation is reminded to study related accreditation requirements carefully before submitting its application.

1. Accreditation Standards

The applicant management system certification body shall comply with the accreditation requirements given in the following documents as applicable:

1a. [HKCAS 003: 2015](#)

Technical Criteria for Accreditation of Management System Certification Bodies

This is the key document consisting of the criteria for accreditation. It consists of the ISO/IEC 17021-1: 2015 requirements and the HKCAS Policy on the requirements. Because of copyright issue, only an abridged version of [HKCAS 003: 2015](#) (without the ISO/IEC 17021-1: 2015 requirements) is available on our website. Hardcopy of the full version of HKCAS 003: 2015 is available upon request of potential applicants and relevant parties.

1b. Other accreditation standards

| Management System Certification | Accreditation Standard |
|---|---|
| Energy Management System (EnMS) | ISO 50003: 2021 Energy management systems – Requirements for bodies providing audit and certification of energy management systems |
| Environmental Management System (EMS) | ISO/IEC 17021-2: 2016 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 2: Competence requirements for auditing and certification of environmental management systems |
| Food Safety Management System (FSMS) | ISO/TS 22003: 2013 Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems |
| Information Security Management System (ISMS) | ISO/IEC 27006: 2015 + A1: 2000 Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems |
| Occupational Health and Safety Management System (OH&SMS) | ISO/IEC TS 17021-10: 2018 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 10: Competence requirements for auditing and certification of occupational health and safety management systems |
| Quality Management | ISO/IEC 17021-3: 2017 Conformity assessment – Requirements for bodies providing audit and |

| | |
|--------------|--|
| System (QMS) | certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems |
|--------------|--|

Note: The applicant management system certification body may purchase these standards through the Quality Services Division of the Innovation and Technology Commission (ITC).

2. Regulations for HKAS Accreditation and HKAS/HKCAS Supplementary Criteria

The applicant management system certification body shall comply with the requirements of the following documents as applicable.

- 2a. [HKAS 002](#)
Regulations for HKAS Accreditation
- 2b. [HKAS Supplementary Criteria No. 1](#)
Use of HKAS accreditation symbols and claims of accreditation status
- 2c. [HKAS Supplementary Criteria No. 2](#)
Nonconformities and their grading
- 2d. [HKAS Supplementary Criteria No. 4](#)
Interval between on-site reassessment and surveillance visits of an accreditation cycle
- 2e. [HKAS Supplementary Criteria No. 6](#)
Code of Conduct
- 2f. [HKCAS Supplementary Criteria No. 4](#)
Accreditation Regulations Specific for HKCAS – Certification Body
- 2g. [HKCAS Supplementary Criteria No. 11](#)
HKAS Policy on Product and Management System Certification Schemes
(only applicable to those management system certification bodies providing certification services in respect of management system certification schemes)
- 2h. Other HKCAS Supplementary Criteria

| Management System Certification | HKCAS Supplementary Criteria |
|---|--|
| Energy Management System (EnMS) | Supplementary Criteria No. 10 Accreditation Programme for Energy Management System (EnMS) Certification |
| Food Safety Management System (FSMS) | Supplementary Criteria No. 6 Accreditation Programme for Food Safety Related Management System Certification |
| Information Security Management System (ISMS) | Supplementary Criteria No. 8 Accreditation Programme for Information Security Management System (ISMS) Certification |
| Occupational Health and Safety Management System (OH&SMS) | Supplementary Criteria No. 7 Accreditation Programme for Occupational Health and Safety Management System Certification |

| | |
|---|--|
| Residential Care Homes (Elderly Persons) Service Providers' Management System (RCHE-MS) | Supplementary Criteria No. 12 Accreditation Programme for Residential Care Homes (Elderly Persons) Service Providers' Management System Certification |
|---|--|

The above documents are available at the website of HKAS (<https://www.itc.gov.hk/en/quality/hkas/publications/index.html>).

3. Application Process

The applicant management system certification body is required to complete the following forms, submit them together with the required documents and pay an application fee (as detailed in [HKCAS 006](#) - Schedule of Fees for Accreditation of Certification Bodies and Validation/Verification Bodies within the Hong Kong Special Administrative Region) to HKAS Executive for processing:

3a. [HKCAS 005](#)

Application for Accreditation of a Certification Body (CB) or Validation and Verification Body (V/VB) / Application for Extension of Scope of a CB or V/VB

3b. [HKCAS 007](#)

Assessment / Reassessment Questionnaire for Management System Certification Bodies

- [Annex I](#) – Scope of Accreditation Sought
- Annex II – Management System Checklist Series
 - [Annex II\(A\)](#) – Management System Checklist (for any management system certification)
 - [Annex II\(B\)](#) – Management System Checklist (for management system certification in respect of a certification scheme)
 - [Annex II\(C\)](#) – Management System Checklist (for EnMS certification)
 - [Annex II\(D\)](#) – Management System Checklist [for EMS certification (based on ISO/IEC 17021-2: 2016)]
 - [Annex II\(E\)](#) – Management System Checklist (for FSMS certification)
 - [Annex II\(F\)](#) – Management System Checklist (for ISMS certification)
 - [Annex II\(G\)](#) – Management System Checklist [for OH&SMS certification (based on ISO/IEC TS 17021-10: 2018)]
 - [Annex II\(H2\)](#) – Management System Checklist [for QMS certification (based on ISO/IEC 17021-3: 2017)]
 - [Annex II\(J\)](#) – Management System Checklist (for RCHE-MS certification)

Detailed procedures for HKAS accreditation are given in [HKCAS IN001](#) [Application Procedures for HKCAS Accreditation (Informative)].

For queries, please contact the respective accreditation officers as following:

| Management System Certification | Accreditation Officer | Contact Tel. |
|---|------------------------|--------------|
| Quality Management System | Mr WONG Yau-tim | 2829 4866 |
| Environmental Management System | Ms Rebecca WONG Wan-ha | 2829 4863 |
| Occupational Health and Safety Management System | | |
| Food Safety Management System | Ms Rebecca WONG Wan-ha | 2829 4863 |
| Residential Care Homes (Elderly Persons) Service Providers' Management System | | |

| Management System Certification | Accreditation Officer | Contact Tel. |
|--|------------------------------|---------------------|
| Information Security Management System | Mr Nick LEUNG Chi-chiu | 2829 4846 |
| Energy Management System | | |

HKAS Executive
September 2023

HKCAS AP001

香港認可處申請指南

– 管理體系認證機構的認可

本指南乃為有意申請認可處認可資格的管理體系認證機構而設，內容包括有關申請認可資格的資訊。有興趣申請認可資格的管理體系認證機構在提交申請前應先細心閱讀相關的認可要求。

1. 認可標準

申請認可資格的管理體系認證機構須符合載於以下適用文件的認可要求：

1a. [HKCAS 003C: 2015](#)

管理體系認證機構認可技術準則

此文件是主要的認可準則。文件中列有ISO/IEC 17021-1: 2015的要求及香港認證機構認可計劃的相關規例。本文件並不包括ISO/IEC 17021-1: 2015原文的中文翻譯。如需ISO/IEC 17021-1: 2015的中文譯本，可參考國內有關標準文件(例如GB/T 27021.1)。

1b. 其他認可標準

| 管理體系認證 | 認可標準(只有英文版本) |
|---------------------|---|
| 能源管理體系 (EnMS) | ISO 50003: 2021 Energy management systems – Requirements for bodies providing audit and certification of energy management systems |
| 環境管理體系 (EMS) | ISO/IEC 17021-2: 2016 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 2: Competence requirements for auditing and certification of environmental management systems |
| 食物安全管理體系 (FSMS) | ISO/TS 22003: 2013 Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems |
| 資訊安全管理體系 (ISMS) | ISO/IEC 27006: 2015 + A1: 2020 Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems |
| 職業健康安全管理體系 (OH&SMS) | ISO/IEC TS 17021-10: 2018 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 10: Competence requirements for auditing and certification of occupational health and safety management systems |
| 質量管理體系 (QMS) | ISO/IEC 17021-3: 2017 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 3: Competence requirements for auditing and certification of quality management systems |

備註： 申請認可資格的實驗所可聯絡創新科技署轄下品質事務部，購買這些標準。

2. 認可規例及香港認可處/香港認證機構認可計劃補充準則

申請認可資格的管理體系認證機構須符合載於以下適用文件的認可要求：

- 2a. [HKAS 002C](#)
認可處認可規例
- 2b. [認可處補充準則第 1 號](#)
使用認可處認可標誌及聲稱具備認可處認可資格
- 2c. [認可處補充準則第 2 號](#)
不符合項及其評級
- 2d. [認可處補充準則第 4 號](#)
認可周期內進行實地覆審與監察訪問之間相隔的時間
- 2e. [認可處補充準則第 6 號](#)
紀律守則
- 2f. [HKCAS Supplementary Criteria No. 4](#) (只有英文版本)
Accreditation Regulations Specific for HKCAS – Certification Body
- 2g. [HKCAS Supplementary Criteria No. 11](#) (只有英文版本)
HKAS Policy on Product and Management System Certification Schemes
(only applicable to those management system certification bodies providing certification services in respect of management system certification schemes)
- 2h. 其他香港認證機構認可計劃補充準則

| 管理體系認證 | 香港認證機構認可計劃補充準則(只有英文版本) |
|------------------------|--|
| 能源管理體系 (EnMS) | Supplementary Criteria No. 10 Accreditation Programme for Energy Management System (EnMS) Certification |
| 食物安全管理體系 (FSMS) | Supplementary Criteria No. 6 Accreditation Programme for Food Safety Related Management System Certification |
| 資訊安全管理體系 (ISMS) | Supplementary Criteria No. 8 Accreditation Programme for Information Security Management System (ISMS) Certification |
| 職業健康安全管理体系 (OH&SMS) | Supplementary Criteria No. 7 Accreditation Programme for Occupational Health and Safety Management System Certification |
| 安老院服務提供者管理体系 (RCHE-MS) | Supplementary Criteria No. 12 Accreditation Programme for Residential Care Homes (Elderly Persons) Service Providers' Management System Certification |

上述文件可於本處網頁免費下載

(<https://www.itc.gov.hk/ch/quality/hkas/publications/index.html>).

3. 申請程序

申請認可資格的管理體系認證機構須填妥以下適用的表格(只有英文版本)並提交有關文件和按照 [HKCAS 006](#) (只有英文版本) (Schedule of Fees for Accreditation of Certification Bodies and Validation/Verification Bodies within the Hong Kong Special Administrative Region) 繳付申請費用。

3a. [HKCAS 005](#)

Application for Accreditation of a Certification Body (CB) or Validation and Verification Body (V/VB) / Application for Extension of Scope of a CB or V/VB

3b. [HKCAS 007](#)

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 - [Annex II\(H2\)](#) – Management System Checklist [for QMS certification (based on ISO/IEC 17021-3: 2017)]
 - [Annex II\(J\)](#) – Management System Checklist (for RCHE-MS certification)

如需了解詳細的申請程序，請參閱 [HKCAS IN001](#) [Application Procedures for HKCAS Accreditation (Informative)] (只有英文版本)。

如有任何疑問，歡迎聯絡以下認可主任:

| 管理體系認證 | 認可主任 | 聯絡電話 |
|--------------|-------|-----------|
| 質量管理體系 | 黃祐添先生 | 2829 4866 |
| 環境管理體系 | 黃韻霞女士 | 2829 4863 |
| 職業健康安全管理体系 | | |
| 食物安全管理體系 | 黃韻霞女士 | 2829 4863 |
| 安老院服務提供者管理體系 | | |
| 資訊安全管理體系 | 梁志超先生 | 2829 4846 |
| 能源管理體系 | | |

認可處執行機關
2023 年 9 月