

HKIAS 003:2017

**Abridged Version**

**(Requirements and notes of ISO/IEC 17020 are not included in this document. This document should be read in conjunction with ISO/IEC 17020:2012)**

# Technical Criteria for Accreditation of Inspection Bodies

(ISO/IEC 17020:2012, Conformity assessment – Requirements for the operation of various types of bodies performing inspection, MOD)

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## HKAS Introduction

The Hong Kong Accreditation Service (HKAS) was set up in 1998 by the Government of the Hong Kong Special Administrative Region to provide accreditation service to the public. It was formed through the expansion of the Hong Kong Laboratory Accreditation Scheme (HOKLAS). HKAS now offers accreditation for laboratories, proficiency testing providers, reference material producers, certification bodies, validation or verification bodies and inspection bodies. It may offer other accreditation services in the future when the need arises.

The principal aims and objectives of HKAS are:

- to upgrade the standard of operation of conformity assessment bodies;
- to offer official recognition to competent conformity assessment bodies which meet international standards;
- to promote the acceptance of endorsed reports and certificates\* issued by accredited conformity assessment bodies;
- to conclude mutual recognition arrangements with other accreditation bodies; and
- to eliminate the need for repetition of conformity assessment in the importing economies and thereby reducing costs and facilitating free trade across borders.

\* *An endorsed report or certificate means a report or certificate on which the accreditation status of HKAS or its mutual recognition arrangement partners has been claimed (e.g. by bearing the accreditation symbol or a statement on the accreditation status of the accredited conformity assessment body)*

The operating cost of HKAS is funded by the Government and is partly recovered by charging fees for services provided by HKAS.

HKAS Executive is responsible for administering HKAS and its accreditation schemes. At present, there are three schemes: the Hong Kong Laboratory Accreditation Scheme (HOKLAS) for laboratories, proficiency testing providers and reference material producers, the Hong Kong Certification Body Accreditation Scheme (HKCAS) for certification bodies, validation and verification bodies, and the Hong Kong Inspection Body Accreditation Scheme (HKIAS) for inspection bodies. All accreditation schemes of HKAS are operated in accordance with the requirements of an international standard, i.e. ISO/IEC 17011, and the criteria established by relevant international and regional cooperations of accreditation bodies. Participation in the three schemes is voluntary.

Organisations applying for accreditation or those that have been accredited under any of the three schemes are required to demonstrate that:

- they are competent to perform the specific activities for which they are applying for accreditation or have been accredited;
- they have implemented an effective management system which complies with the accreditation criteria of the relevant scheme; and
- they comply with all the regulations in HKAS 002 – ‘Regulations for HKAS Accreditation’. These regulations are the governing rules for the administration of the three schemes and contain the obligations of any organisation which has applied for HKAS accreditation or has been accredited by HKAS.

HKAS will grant accreditation for an activity to an organisation only when it meets the conditions given in clause 4.15 of HKAS 002.

## **i Basis of HKIAS 003 ‘Technical Criteria for Accreditation of Inspection Bodies’ – ISO/IEC 17020:2012**

This booklet serves as a domestic publication which is applicable to all inspection bodies accredited by HKAS or seeking HKAS accreditation.

This booklet is the modified adoption of International Standard, ISO/IEC 17020:2012 – ‘Conformity assessment – Requirements for the operation of various types of bodies performing inspection’. The ISO/IEC 17020:2012 which was jointly published by International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) provides requirements for accreditation of inspection bodies which are of type A, B and C.

The title of this booklet varies from the ISO/IEC 17020:2012 and is entitled as ‘Technical Criteria for Inspection Bodies’. In Section 1 to 8, Annex A and B of this booklet, the requirements and notes of ISO/IEC 17020:2012 are reproduced verbatim as the main text and relevant HKIAS policies are given in shaded boxes following the main text. Annexes AA and AB are also added following the original text of the ISO/IEC 17020:2012. The notes provide clarification of the requirements. HKAS will consider that an inspection body has met the requirements if it follows the notes. The HKIAS policies serve as additional explanation of the requirements of ISO/IEC 17020:2012 and shall be regarded as mandatory. The reference documents, if any, referred to in the HKIAS policies are given for information only. They are not part of the requirements unless explicitly stated as such. A complete list of modifications, together with their explanations, is given in Annex AB.

The term ‘shall’ is used throughout this booklet to indicate those provisions which are mandatory. The term ‘should’ is used to indicate guidance which, although not mandatory, is provided by HKAS as a recognised means of meeting the requirements.

This booklet set out the accreditation requirements that an accredited inspection body shall meet. It is the responsibility of the inspection body to determine the best method to meet such requirements, the relative significance of individual activities to the overall quality of the inspection body and the emphasis and resource that should be allocated to each of them. The inspection body’s management may be required to demonstrate to the assessment team that the method it has selected is adequate in meeting the accreditation requirements.

A list of HKAS and HKIAS Supplementary Criteria is available from HKAS Executive and the HKAS website. Such website also provides links to other websites which contain useful information on accreditation and inspection body operation.

**ii Scope of accreditation**

HKAS Executive will define from time to time the specific areas which are available for accreditation under HKIAS. Currently, HKAS has accredited inspection bodies in the 'inspection field' of construction products, consumer products and indoor air quality inspection.

All accredited inspection activities of an accredited inspection body will be clearly shown in a 'scope of accreditation'.

**iii Accreditation criteria**

An applicant inspection body shall demonstrate its conformity with the accreditation criteria in sections 4 to 8 of this booklet and relevant HKAS/HKIAS supplementary criteria as well as the regulations listed in HKAS 002 before HKAS Executive grants accreditation to the inspection body. An accredited inspection body shall comply with the same criteria at all times for maintaining accreditation. An applicant or accredited inspection body may also be required to demonstrate to HKAS Executive that it can competently perform all activities proposed for accreditation or accredited activities. In addition, the applicant or accredited inspection body shall maintain its integrity and impartiality under all circumstances.

## **Introduction**

**(The main text of introduction is the text of the same introduction of ISO/IEC 17020:2012.)**

# 1 Scope

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

## **2 Normative references**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### **3 Terms and definitions**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.1 Inspection**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.2 Product**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.3 Process**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.4 Service**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.5 Inspection body**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.6 Inspection system**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.7 Inspection scheme**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.8 Impartiality**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **3.9 Appeal**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### **3.10 Complaint**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

## **4 General requirements**

### **4.1 Impartiality and independence**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### **4.2 Confidentiality**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

## **5 Structural requirements**

### **5.1 Administrative requirements**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### **5.2 Organization and management**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **5.2.1 HKIAS Policy on Organization and Management**

It is the responsibility of the inspection body to carry out its work in accordance with the applicable Laws and Regulations of Hong Kong and the country/economy where inspection activities are carried out. It should be emphasized that assessment of the inspection body's compliance with the relevant regulatory requirements is outside the scope of HKAS accreditation.

## 6 Resource requirements

### 6.1 Personnel

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 6.1.1 HKIAS Policy on Personnel

##### HKIAS Policy on Competence Requirements for Personnel

The appraisal of personnel is a major part of each inspection body assessment as the performance of an inspection body depends largely on the skills of its personnel. The following categories of personnel will be assessed by HKAS assessment teams:

- (a) inspectors,
- (b) supervisory personnel, and
- (c) management personnel.

The requirements for inspectors are specified in subclause 6.1.2 and 6.1.3. The requirements for supervisory personnel and management personnel are given below.

The need for supervisory and management personnel and their competence requirements will be carefully examined by HKAS assessment teams. Factors which will be considered include:

- (a) the size of the inspection body, the volume of the inspection work to be carried out, and the range of inspection activities included in the proposed scope of accreditation;
- (b) the technical complexity of the inspection and the professional judgement involved;
- (c) the frequency at which specific inspections are conducted by the inspection body, particularly those inspections that are judged to be highly experience dependent;
- (d) the contact that the management personnel maintain with the development of methodology and adoption of new methodology within the inspection body. The more remote the management personnel are from the technical inspection operation, the more important would be the supervisory personnel in providing the necessary technical supervision.

Supervisory personnel shall have appropriate competence and sufficient authority to train and supervise their subordinates properly. They shall demonstrate their understanding of the field of inspection in which they exercise supervision. They should also have the necessary knowledge and experience to evaluate the professional judgement made by their subordinates. In assessing qualifications, the balance between relevant academic qualifications and practical inspection experience will be examined in the light of the range of inspections performed by the inspection body, its complexity and the precision required.

Management personnel need not fully understand every field of inspection they manage but shall have adequate supervisory experience. They shall have suitable qualifications or training, and have sufficient experience and ability to direct the operations of the inspection body, and to accept responsibility for the implementation of the quality system. For an inspection body seeking accreditation for a wide range of complex inspections, management personnel would be expected to hold professional qualifications such as membership of an appropriate professional body. For an inspection body engaged in a limited range of relatively simple inspections, management personnel who do not have any professional qualifications shall be able to demonstrate their competence by having relevant experience.

**Continued...**

HKIAS endorsed inspection reports and certificates shall be signed by HKIAS approved signatories and the requirements for these signatories are detailed in 7.4.1.

#### **HKIAS Policy on Approved Inspectors**

HKIAS may implement a system of approved inspectors for certain Inspection Fields. Approved inspectors should be appraised by the inspection body to be competent for carrying out specific inspections or specific types of inspections before nominated by the inspection body to HKAS Executive for approval. Once approved by HKAS Executive, the inspection results obtained by approved inspectors may be reported in HKIAS endorsed inspection reports and certificates. Inspectors to be approved shall satisfy the requirements of subclause 6.1.2 and 6.1.3. In particular, approved inspectors shall perform the inspection competently using the corresponding inspection equipment, understand the factors affecting the inspection results and possess the required knowledge to make professional judgements based on the inspection results. They shall also be familiar with the Code of Conduct of the inspection body and maintain a high level of integrity and professionalism when performing inspections. The approval will be forthwith withdrawn upon any confirmed impropriety, unlawful act or corrupt practice of an approved inspector.

As approval is granted to the inspection body for which an inspector is working under its management system, 'approved inspector' is not a personal qualification.

Details of the approved inspector system and specific requirements applicable to each type of inspection, including the qualification and experience requirements for approved inspectors and the approval procedures, are specified in a HKIAS Supplementary Criteria for a specific inspection field.

Colour vision defects and other sensory defects may prevent some inspectors from performing certain inspections satisfactorily (such as inspections involving identification of colours). It is the responsibility of the inspection body's management to ensure in such cases that colour vision problems or other sensory defects will not affect the validity of inspection results.

## 6.2 Facilities and equipment

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### 6.2.1 HKIAS Policy on Facilities and Equipment

#### HKIAS Policy on Use and Maintenance of Equipment

- (a) Documented instructions should be available to control the use and operation of equipment by authorised operators only.
- (b) A staff member of the inspection body shall be assigned the responsibility to ensure that maintenance and the necessary calibrations are conducted in accordance with a realistic schedule.
- (c) Inspection equipment should be maintained according to an established programme. Maintenance requirements depend on the type, material, construction and frequency of use. Items of equipment consisting of moving parts may require more frequent maintenance.

#### HKIAS Policy on Metrological Traceability

- (d) HKAS Executive accepts calibration performed by one of the options specified in clause 2.1 of HOKLAS Supplementary Criteria No. 2 as evidence of traceability to SI units. Specific recommendations for calibration and recalibration of selected items of equipment required by inspection bodies operating in specific technical discipline are also given in HOKLAS Supplementary Criteria No. 2 or a HKIAS Supplementary Criteria for a specific inspection field which will be reviewed and revised from time to time. Applicant/accredited inspection bodies should note that any recommendations on calibration, including recalibration intervals, are given for reference only. It is the responsibility of the inspection body to determine an appropriate calibration regime for each instrument based on its application, construction and drift history. The inspection body should not adopt the recommendations indiscriminately in lieu of detailed investigation. More detailed guidance on determining calibration requirements is given in the same supplementary criteria.
- (e) Calibration of some items of equipment may be performed by an accredited inspection body provided that the inspection body has the necessary reference standards and/or materials and competent technical personnel to perform the calibration. In addition, the uncertainty of calibration achieved shall meet the requirements of the applications.
- (f) Where the inspection body conducts in-house calibrations, the competence of the calibration staff, reference standards or reference materials employed, applicable calibration procedures including uncertainty estimation and the adequacy of calibration records will be assessed by HKIAS assessment teams.
- (g) Many items of equipment, and particularly for chemical analyses, are calibrated by comparative techniques using certified reference materials (CRMs) or reference materials (RMs). The employment of certified reference materials to ensure demonstrated traceability to the SI units or the appropriate measurement standards is essential to the accuracy of results.

**Continued ....**

- (h) Inspection bodies should follow the guidelines specified in ISO Guide 33 on the use of certified reference materials or reference materials for equipment calibration and assessment of a measurement process.
- (i) HOKLAS policy on the use and acceptability of CRMs and RMs for the calibration of equipment is detailed in HOKLAS Supplementary Criteria No. 1. An inspection body undertaking calibrations of equipment using CRMs or RMs shall demonstrate conformity with such policy to HKAS Executive.

## 6.3 Subcontracting

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### 6.3.1 HKIAS Policy on Subcontracting

- (a) When an inspection body subcontracts inspection activities, it shall select a subcontractor inspection body which meets the same independence criteria as itself. (see subclause 4.1.6)
- (b) One example of competence needed for the demonstration of the capability of a subcontractor is the technical competence needed to assess whether a particular testing facility of the subcontractor fulfils the requirements of ISO/IEC 17025.
- (c) The HKAS regulations governing the reporting of results obtained by subcontractors are stipulated in clause 5.9 of HKIAS Supplementary Criteria No. 5.

## **7 Process requirements**

### **7.1 Inspection methods and procedures**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **7.1.1 HKIAS Policy on Inspection Methods and Procedures**

##### **HKIAS Policy on Safety**

'Safe manners' refers to the safety of personnel and the protection of surrounding environment.

### **7.2 Handling inspection items and samples**

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### **7.2.1 HKIAS Policy on Handling Inspection Items and Samples**

The system employed for storage and disposal of inspection items and information obtained during the inspection process shall comply with the confidentiality requirements stated in clause 4.2. The inspection body shall demonstrate how its personnel and subcontractors observe the inspection body's confidentiality requirements.

### 7.3 Inspection records

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 7.3.1 HKIAS Policy on Inspection Records

The specific features of inspection records and their verification which are required of accredited inspection bodies are:

- (a) Each inspection body shall maintain a record system designed to suit its particular requirements. It needs not be an elaborate system but it shall include all raw inspection data and provide a traceable link between the item inspected and the report which is eventually issued based on the inspection result obtain from that item. This applies equally to computer and manual record systems.
- (b) The system shall allow for ready retrieval of original inspection data pertinent to any issued inspection report or certificate, particularly:
  - (i) details of the clients and the work order, including records of contract negotiation and telephone conversation;
  - (ii) full description of each product design, product, service, process or plant inspected;
  - (iii) the unique identifications of the inspected items;
  - (iv) identification of inspection method and the sampling method;
  - (v) identification of inspection equipment and where relevant, the specification of the equipment;
  - (vi) original inspection and/or test observations, checklists and calculations;
  - (vii) identification of the person performing the inspection and sampling;
  - (viii) identification of where and when the inspection and sampling was performed;
  - (ix) environmental conditions during the inspection and sampling, where relevant;
  - (x) the results of any laboratory tests on the samples;
  - (xi) the supporting rationale for any professional judgement;
  - (xii) identification of the person checking the calculations and data transfer;
  - (xiii) a copy of the issued inspection report or certificate. (This copy shall be a complete and exact copy of the report issued by the inspection body.)
- (c) Errors in calculations and incorrect transfer of data from workbooks to inspection reports are major causes of incorrect inspection reports. Calculations and data transfers shall be checked and signed or initialled, preferably by a second person. It is desirable to design workbooks and worksheets so that there is a place for the signature of the checking officer.
- (d) Where inspection results are derived by electronic data processing techniques, the requirements stated in subclause 6.2.13 shall be complied with.
- (e) Original inspection observations should be entered at the time of inspection or sampling into bound notebooks, or onto properly designed proforma worksheets. Where a data processing system is used, records of raw inspection data shall be retained unless such data are directly fed into the data processing system by electronic means.

**Continued...**

- (f) Sheets of plain paper should not be used, not only because they are easily lost or discarded, but also because they engender a less disciplined approach to the recording of information required by an inspection.
- (g) Mistakes in recorded data should never be erased or deleted; they should be altered by crossing out the error and entering the correct information alongside. Any alterations to the inspection records should be clearly initialled or signed by the person making the correction.

For inspections which are impracticable to repeat for evaluating the correctness of inspection results, it is particularly important that the record system is capable of retaining sufficient objective evidence on how the inspection was performed. Photographs or video clips may be necessary to record how the inspection was performed and how the samples were obtained.

## 7.4 Inspection reports and inspection certificates

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### 7.4.1 HKIAS Policy on Inspection Reports and Inspection Certificates

#### HKIAS Policy on HKIAS Endorsed Inspection Reports and Certificates

- (a) An inspection body may issue inspection reports and certificates in an electronic format in accordance with the requirements of this document, including those relating to the quality of reported results and protection of the confidentiality of the client information.
- (b) Any amendment to reports or certificates shall be issued in the form of a document bearing a unique identification and include a statement having the meaning of 'This report/certificate supersedes report/certificate number xxx issued on date yy' or 'This document supplements report number xxx issued on date yy.'
- (c) An inspection body shall conform with the following requirements when preparing HKIAS endorsed inspection reports and certificates:
  - (i) HKIAS endorsed inspection reports and certificates are governed by the regulations specified in HKIAS Supplementary Criteria No. 5.
  - (ii) It is the responsibility of a HKIAS approved signatory to ensure that all relevant information, including calculations and data relevant to an inspection report or certificate have been checked to be accurate before he/she signs that report or certificate.

#### HKIAS Policy on Approved Signatories for HKIAS Endorsed Inspection Reports and Certificates

- (a) HKIAS endorsed inspection reports and certificates shall be signed by an approved signatory. An approved signatory is a supervisory or management officer nominated by the inspection body and subsequently assessed and approved by HKAS Executive to sign such reports or certificates.
- (b) A person nominated for approved signatory status shall be competent to make critical evaluation of the inspection results and professional judgements. He/she shall spend sufficient time in the inspection body to enable him/her making this evaluation and shall occupy a position in the organisation's staff structure which makes him/her responsible for the adequacy of the inspection results. In addition, he/she shall be fully aware of the requirements detailed in this document, in HKAS 002 and HKIAS Supplementary Criteria No. 5. Approval may be granted for specific inspections or all inspections for which the inspection body is accredited.
- (c) As approval is granted to a signatory in the context that he/she is working for the inspection body under its management system, 'approved signatory' is not a personal qualification.
- (d) Signatory approval may be granted to management personnel, provided that they have maintained sufficient contact with inspection techniques to retain a faculty for critical evaluation of the inspection results and professional judgements.

**Continued...**

- (e) The following attributes will be taken into account when the suitability of a staff member nominated for approval as a signatory is assessed:
- (i) qualifications and experience;
  - (ii) position in the staff structure;
  - (iii) knowledge required of an inspector as detailed in subclause 6.1.2 and 6.1.3;
  - (iv) knowledge of the inspection procedures and the equipment used;
  - (v) knowledge of the procedure for recording, reporting and checking inspection results;
  - (vi) familiarity with the quality system of the inspection body;
  - (vii) awareness of the regulations and criteria of HKIAS, and particularly those referring to inspection reports and certificates;
  - (viii) awareness of the need to maintain complete integrity and impartiality in all operations and the Code of Conduct of the inspection body.

## 7.5 Complaints and appeals

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### 7.5.1 HKIAS Policy on Complaints and Appeals

When a complaint or an appeal involving HKIAS accredited inspection is not satisfactorily resolved within 60 days from the date of receipt, inspection bodies shall notify HKAS Executive in writing of the complaint or appeal.

## 7.6 Complaints and appeals process

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

## 8 Management system requirements

### 8.1 Options

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 8.1.1 HKIAS Policy on Management System

The management system of an inspection body needs not be complex but shall be suitable for the operation of the inspection body, taking into consideration all relevant factors, such as its size, number of staff members, its organisation structure, the range, volume and complexity of the inspections it performs, and whether it has any operation offices.

All documents of the inspection body's management system should be developed as working documents for use by managers and staff – not as checklists for presentation to inspection body assessors. It should be written in a language and a form which is readily understandable by its target users. For large and complex inspection bodies, the documentation system may be arranged in a hierarchical format. The top-level document states the objectives and policies and the lower level documents provide details of implementing those objectives and policies in specific areas. All documents shall be available for examination as a part of the accreditation process.

If the inspection activity is already addressed in a quality manual covering an organisation's total range of operations, it may be necessary to extract the relevant information and expand on it to establish a set of separate documents specifically relating to the inspection functions.

### 8.2 Management system documentation (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

### 8.3 Control of documents (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 8.4 Control of records (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

##### 8.4.1 HKIAS Policy on Control of Records

- (a) All records and inspection reports shall be protected from loss, damage or misuse and retained in confidence to the client for an appropriate period.
- (b) The period for retention of original inspection data, other inspection body records and test reports and documents has been set by HKAS Executive to be a minimum of four years unless otherwise required by law.
- (c) Where an inspection body has operation offices at different locations, the inspection records should be retrievable from both the operation office responsible for the inspections and at the main office. The inspection records may be kept at the main office, the operation office or any suitable location.

#### 8.5 Management review (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 8.6 Internal audits (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 8.7 Corrective actions (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

#### 8.8 Preventive actions (Option A)

**(The main text of this clause is the text of the same clause of ISO/IEC 17020:2012)**

**Annex A**  
(normative)

**Independence requirements for inspection bodies**

**(The main text of this clause is the text of the same clause of  
ISO/IEC 17020:2012)**

**Annex B**  
(informative)

**Optional elements of inspection reports and certificates**

**(The main text of this clause is the text of the same clause of  
ISO/IEC 17020:2012)**

## **Annex AA** (informative)

### **Bibliography**

Given below is a list of documents for information only. Unless otherwise stated in other parts of this document, the documents are not part of the accreditation criteria.

#### **A. ISO**

(www.iso.org)

ISO 9000	Quality Management Systems – Fundamentals and Vocabulary
ISO 9001	Quality Management Systems – Requirements
ISO/IEC 17025	General Requirements for the Competence of Testing and Calibration Laboratories
ISO 19011	Guidelines for Auditing Management Systems
ISO/IEC Guide 99	International Vocabulary of Metrology – Basic and General Concepts and Associated Terms (VIM)

#### **B. International Laboratory Accreditation Cooperation (ILAC)**

(www.ilac.org)

##### **ILAC Guidance (G-series)**

ILAC G21	Cross Frontier Accreditation – Principles for Cooperation
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##### **ILAC Policy (P-series)**

ILAC P5	ILAC Mutual Recognition Arrangement: Scope and Obligations
ILAC P8	ILAC Mutual Recognition Arrangement (Arrangement): Supplementary Requirements for the Use of Accreditation Symbols and for Claims of Accreditation Status by Accredited Conformity Assessment Bodies
ILAC P9	ILAC Policy for Participation in Proficiency Testing Activities
ILAC P10	ILAC Policy on Metrological Traceability of Measurement Results
ILAC P15	Application of ISO/IEC 17020:2012 for the Accreditation of Inspection Bodies

**Annex AB**  
(informative)

**Variations to ISO/IEC 17020:2012 for HKIAS 003:2017**

This Annex lists out all variations of this booklet to ISO/IEC 17020:2012 as follows:

<b>Section</b>	<b>Modification</b>
Forward	Delete 'Forward' of ISO/IEC 17020:2012
–	Add 'HKAS Introduction'
5 Structural requirements	Add 5.2.I 'HKIAS Policy on Organization and Management'
6 Resource requirements	Add 6.1.I 'HKIAS Policy on Personnel'
	Add 6.2.I 'HKIAS Policy on Facilities and Equipment'
	Add 6.3.I 'HKIAS Policy on Subcontracting'
7 Process requirements	Add 7.1.I 'HKIAS Policy on Inspection Methods and Procedures'
	Add 7.2.I 'HKIAS Policy on Handling Inspection Items and Samples'
	Add 7.3.I 'HKIAS Policy on Inspection Records'
	Add 7.4.I 'HKIAS Policy on Inspection Reports and Inspection Certificates'
	Add 7.5.I 'HKIAS Policy on Complaints and Appeals'
8 Management system requirements	Add 8.1.I 'HKIAS Policy on Management System'
	Add 8.4.I 'HKIAS Policy on Control of Records'
Bibliography	Delete 'Bibliography' of ISO/IEC 17020:2012
–	Add Annex AA 'Bibliography'
–	Add Annex AB 'Variations to ISO/IEC 17020:2012 for HKIAS 003:2017'

**Explanation:**

HKIAS policies added serve as additional explanation of the requirements of ISO/IEC 17020:2012 and shall be regarded as mandatory under Hong Kong Inspection Body Accreditation Scheme (HKIAS).

Annex AB is an informative annex listing out all variations of this booklet to ISO/IEC 17020:2012.