Hong Kong Institution of Certified Auditors

Approval of Training Courses

CONTENTS

1. INTRODUCTION

2. APPLYING FOR APPROVAL OF TRAINING COURSES

3. MAINTAINING YOUR TRAINING COURSE APPROVAL

4. SUSPENSION AND WITHDRAWAL

5. FEES AND CHARGES

APPENDIX A APPLICATION FORM FOR TRAINING COURSE APPROVAL

APPENDIX B FEES STRUCTURE FOR TRAINING COURSES APPROVAL

1. INTRODUCTION

1.1 This document is prepared to help you apply for the Training Organization and to apply for certification of your training course(s) by The Hong Kong Institution of Certified Auditors (HKICA).

1.2 There are two elements to running HKICA certified training courses:
a. ***Approval*** as an HKICA Training Organization, and
b. ***Certification*** of HKICA training courses

We can approve Training Organizations with training courses on ISO9000, ISO14000, ISO18000 and other courses as appropriate approved by HKICA. Application for approval of the Training Organization and course certification may be made simultaneously.

1.3 ***Communication.*** All communications, correspondence, documents and materials submitted in support of both Training Organization approval and training course certification can be in English or Chinese.

2. APPLYING FOR TRAINING ORGANIZATION APPROVAL AND TRAINING COURSE CERTIFICATION

2.1 Applying for Training Organization Approval

Application process starts with submission of the following documents:

- The completed Training Organization application form (see Appendix A)
- The Training Organization application fee (see Appendix C)
- Complete documentation demonstrating how you meet the *Requirements for Training Organization Approval* including:

  1) your organization structure

  2) a list of approved tutors, and

  3) documented processes for:

     - Controlling the administration of HKICA certified training courses (document control, subcontractors/branches, advertising, training course facilities).
     - Qualifying tutors
     - Assessing student performance and managing examinations.
     - Continuously improving your training.

When we receive your complete application, we will conduct the desktop review of your management systems documentation and send you a summary report, including our comments.

After all comments have been satisfactorily responded we will approve your Training Organization to present HKICA certified training courses, and:

- Place both your organization and training course details on the HKICA website.

- Issue to you a certificate of Training Organization approval
- Permit the use of HKICA Training Course Mark and the HKICA Training Organization Mark

2.2 Applying for Certification of Training Courses

Application process is a two-stage process;

Stage 1: Document Review
Stage 2: Initial On-site Assessment

2.2.1 *Stage 1: Document Review[2] of your Training Course Materials and Documents.*

Application process starts with submission of the following documents:

- The completed The Training Course Certification form (see Appendix B)
- The Training Course application fee (see Appendix C)
- You must submit all course materials, including:
  - Course programme showing the content of each session together with start and finish times including scheduled breaks.
  - Course notes for students.
  - Course notes for tutors.
  - Any supplementary materials.
  - examination papers and a copy of the specimen paper (where appropriate)
  - Proposed Certificates of Successful Completion and Certificates of Attendance.
  - Tutor competence/qualification information.

When we receive your complete application, we will conduct the desktop review of your management systems documentation and send you a summary report, including our comments. After all comments have been satisfactorily responded we will pre-approve your Training Course and arrange assessment of a presentation of your training course.

2.2.3 *Stage 2: Assessment of a Presentation of Your Training Course.*

- This is usually an assessment of a complete delivery of the course and you are liable for all the costs incurred, including the Reviewer fees, travel and accommodation if applicable. In cases when you have another HKICA certified training course based on the same management system standard, we may reduce the duration of the assessment in recognition of the commonality between the courses.
- During training course assessments, the tutor should introduce the Reviewer to your students and explain why he/she is there.
- Your Reviewer will summarize his/her findings verbally to your representative at the end of each assessment/surveillance visit.
- We may provide you with a written report, including any comments within 10 working days of the end of each visit.

- In the event that your training course requires major changes after the assessment, we may undertake a further full or partial assessment.

- After all comments have been satisfactorily responded we will approve your Training course, and:

  - Place both your organization and training course details on the HKICA website.

  - Issue to you a certificate of training course certification

  - Permit the use of HKICA Training Course Mark and the HKICA Training Organization Mark

3. MAINTAINING YOUR TRAINING ORGANIZATION APPROVAL AND TRAINING COURSE CERTIFICATION

Training Organization approval is maintained subject to continue to maintenance HKICA certified training course(s) approval.

Training Course approval is maintained subject to satisfactory periodic surveillance assessments of your training course(s) (see Appendix C) and shall be re-approval after 3 years.

Maintain a current list of your approved tutors showing their tutor qualification status (i.e. Tutor, Lead Tutor, Tutor in Training etc.) for each certified course.

4. SUSPENSION AND WITHDRAWAL

Training Organization approval may be suspended, withdrawn or cancelled for any of the following:

- Non-payment of fees and charges.
- Failure to provide us with a list of the courses presented for each six-month period as stated above, by the required date[6].
- Sustained or serious breach of IRCA criteria.
- Failure to implement corrective actions satisfactorily or within an agreed timeframe.
- Failure to deliver IRCA certified training courses effectively and consistently.
- Misuse of licences, certificates, logos or marks of conformity.
- Actions or activities that bring the HKICA schemes into disrepute.
- At your request.

5. FEES AND CHARGES

Details of fees and charges associated with the approval and operation of your Training Organization are given in Appendix C.

APPENDIX A

APPLICATION FORM FOR TRAINING ORGANIZATION APPROVAL

Name of Applicant Organization:

Contact Details for Correspondence with HKICA:

Name of nominated contact within the organization:

Position of contact within the organization:

Address:

Telephone: Fax: Email:

Contact Details to be Published on the HKICA Register of Approved Training Organizations:

Address:

Telephone: Fax: Email:
Website:

This will be published on the HKICA website and given to potential students and other members of the public who wish to contact you.

Authorised Signatory:

Name of applicant's authorised signatory:

Position of authorised signatory within the organization:

Signature of authorised signatory:

Date:

Submission checklist:

1. form filled
2. form signed
3. fee enclosed

Notes:

Acceptance of application fee implies no obligation on the part of HKICA to approve any Training Organization. Application fee non-refundable.

HKICA reserves the right to amend the requirements for Training Organization approval as it considers appropriate.

FOR HKICA USE ONLY:

Date received:
Reviewing Officer: HKICA Assigned Organization Reference Number:

APPENDIX B

APPLICATION FORM FOR TRAINING COURSE CERTIFICATION

Name of Applicant Organization:

Contact Details for Correspondence with HKICA:

Name of nominated contact within the organization:

Position of contact within the organization:

Address:

Telephone: Fax: Email:

Contact Details to be Published on the HKICA Register of Approved Training Organizations:

Address:

Telephone: Fax: Email:
Website:

This will be published on the HKICA website and given to potential students and other members of the public who wish to contact you.

Authorised Signatory:

Name of applicant's authorised signatory:

Position of authorised signatory within the organization:

Signature of authorised signatory:

Date:

Submission checklist:

1. form filled
2. form signed
3. fee enclosed

Notes:

Acceptance of application fee implies no obligation on the part of HKICA to approve any Training Organization. Application fee non-refundable.

HKICA reserves the right to amend the requirements for Training Organization approval as it considers appropriate.

FOR HKICA USE ONLY:

Date received:
Reviewing Officer: **HKICA Assigned Organization Reference Number:**

APPENDIX C

FEES STRUCTURE FOR TRAINING COURSES APPROVAL

	Fees
Application as Training Organization (free for company member)	HK$ 3,000
New Course Approval	HK$ 2,000 per day per course
Re-approval or Course Transfer from other recognized approval bodies	HK$ 1,000 per day per course
Course Levy Fee	HK$ 100 per day per course

Note:

1. **All courses subject to re-approval after 3 year**
2. **Levy payments are payable once a year before 31st March.**
3. **Acceptance of fee implies no obligation on the part of HKICA to approve any Training Organization/course**