



Hong Kong Institution of Certified Auditors

香港專業審核師學會

Certification Scheme For

Quality Management System Auditor

HKICA06E

Appeal and Complaint Procedure

The Secretary, Room 108, 1/F Sun Ling Plaza, 30 On Kui Street,
Fanling, New Territories

Issue: 2.1

Document code: HKICA06

Issue date: 27.01.2016

Effective date: 27.01.2016

@ Copyright 2016 Hong Kong Institution of Certified Auditors



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

Table of Content

Section	Section Title	Page
--	Table of Content	(i)
--	Foreword	(ii)
1	Definitions and Abbreviations	1
2	References	5
3	Procedure and Form	6
4	Complaint Procedure	6
5	Appeal Procedure	7
6	Appeal Board	8



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

FOREWORD

All public documents of HKICA are issued in both Chinese and English version. The latest issue will be uploaded to the Scheme website.

Applicant can contact the Secretariat for information regarding the Certification Scheme for Quality Management System Auditor by the following means:

Address: Room 108, 1/F Sun Ling Plaza, 30 On Kui Street, Fanling, New Territories

HomePage: <http://www.hkica.org>

Email: info@hkica.org

Phone: 27892389

1. The Hong Kong Institution of Certified Auditors (HKICA) was established in 2006. It is a non-profit making organization providing services to the quality, environmental, occupational health & safety, food safety, laboratory and other management systems auditing professions in Hong Kong. Its Executive Board comprises members from universities, public authorities, governmental organizations, certification bodies and management systems consultants in Hong Kong.
2. Its primary objectives are:
 - (a) to promote the status of management system auditors to the public as a profession;
 - (b) to establish a local based lead auditors and auditors registration system in accordance with ISO/IEC 19011:2011 and relevant standards and to maintain a database of all registered auditors in the HKICA website for the benefit of the industry;
 - (c) to set up personnel certification schemes for different levels of management system auditors in accordance with the requirements of ISO/IEC 17024:2012 and CNAS-CC03:2014;



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

- (d) to deliver auditing related seminars and workshops which are of common interests to local auditing profession;
- (e) to provide a focal point where registered auditors and certified auditors can get together for exchange of experience and knowledge and fostering of future developments in the related professions;
- (f) to liaise with overseas equivalent bodies for reciprocal recognition of auditors certification schemes; and
- (g) to approve auditing and related training courses for recognition by the auditing profession and the public in accordance with the international practice.



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

3. Background

3.1. Determined to avert the lack of recognition of professional status of auditor locally, a Certification Scheme of Quality Management System Auditor (CSQMSA) was established by HKICA in April 2015 with the following aims:

- (a) to give professional recognition to the auditing practitioners so as to attract and retain talented and skilful personnel to enter into the auditing industry where Hong Kong enjoys clear advantages and has good potential for further development;
- (b) to set benchmarks for the upgrade of expertise and knowledge of the certification personnel;
- (c) to improve the professional image of Hong Kong certification industry and contribute to the building up of brand name for Hong Kong certification services; and
- (d) to become a renowned public personnel certification body in the Asia Pacific Region.

The initial establishment and operation of the Scheme CSQMSA is sponsored by SME Development Fund (SDF) of the Trade and Industry Department.



1 DEFINITIONS AND ABBREVIATIONS

- 1.1 **Certification process:** activities by which a certification body determines that a person fulfils **certification requirements** including application, assessment, decision on certification, recertification and use of **certificates** and logos/marks.
- 1.2 **Certification scheme competence:** and other requirements related to specific occupational or skilled categories of persons.
- 1.3 **Certification requirements:** set of specified requirements, including requirements of the scheme to be fulfilled in order to establish or maintain certification.
- 1.4 **Scheme owner:** organization responsible for developing and maintaining a **certification scheme**.
- 1.5 **Certificate:** document issued by a certification body under the provisions of this International Standard, indicating that the named person has fulfilled the **certification requirements**.
- 1.6 **Competence:** ability to apply knowledge and skills to achieve intended results.
- 1.7 **Qualification:** demonstrated education, training and work experience, where applicable.
- 1.8 **Assessment:** process that evaluates a person's fulfilment of the requirements of the **certification scheme**.
- 1.9 **Examination:** mechanism that is part of the **assessment** which measures a **candidate's competence** by one or more means, such as written, oral, practical and observational, as defined in the **certification scheme**.
- 1.10 **Examiner:** person competent to conduct and score an **examination**, where the examination requires professional judgement.



- 1.11 **Invigilator:** person authorized by the certification body who administers or supervises an **examination**, but does not evaluate the **competence** of the **candidate**.
- 1.12 **Personnel:** individuals, internal or external, of the certification body carrying out activities for the certification body.
- 1.13 **Applicant:** person who has submitted an application to be admitted into the **certification process**.
- 1.14 **Candidate applicant:** who has fulfilled specified prerequisites and has been admitted to the **certification process**.
- 1.15 **Impartiality:** presence of objectivity (Objectivity means that conflicts of interest do not exist, or are resolved, so as not to adversely influence subsequent activities of the certification body.)
- 1.16 **Fairness:** equal opportunity for success provided to each **candidate** in the **certification process**.
- 1.17 **Validity:** evidence that the **assessment** measures what it is intended to measure, as defined by the **certification scheme**.
- 1.18 **Reliability:** indicator of the extent to which **examination** scores are consistent across different examination times and locations, different examination forms and different **examiners**.
- 1.19 **Appeal:** request by **applicant, candidate** or certified person for reconsideration of any decision made by the certification body related to her/his desired certification status.
- 1.20 **Complaint:** expression of dissatisfaction, other than **appeal**, by any individual or organization to a certification body, relating to the activities of that body or a certified person, where a response is expected.
- 1.21 **Interested party:** individual, group or organization affected by the performance of a certified person or the certification body.



1.22 **Surveillance:** periodic monitoring, during the periods of certification, of a certified person's performance to ensure continued compliance with the certification scheme.

1.23 **Continuing Professional Development Units (CPDU)**

The Continuing Professional Development Units (CPDUs) is the measuring unit used to quantify approved learning and professional service activities. Typically, one CPDU is earned for every one hour spent in a planned, structured learning experience or activity.

1.24 **Audit:** systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

Note 1: Audit as defined in this Criteria refers only to external audit including those generally termed second- and third-party audits. Second-party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third-party audits are conducted by external, independent auditing organizations.

Note 2: When two or more management systems are audited together, this is termed a combined audit.

Note 3: When two or more auditing organizations cooperate to audit a single auditee, this is termed a joint audit.

1.25 **Audit criteria:** set of policies, procedures or requirements used for audits.

1.26 **Auditor:** person with the demonstrated personal attributes and competence to conduct an audit.

1.27 **Audit team:** one or more auditors conducting an audit, supported if needed by technical experts.

Note1: One auditor (excluding auditors-in-training or assistant auditor) of the audit team is appointed as the audit team leader.



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

Note 2: The audit team may include auditors-in-training or assistant auditor.

- 1.28 **Complete audit:** the entire audit process from preparation to reporting in accordance with ISO 19011 or ISO/IEC 17021
- 1.29 **CNAS:** China National Accreditation Service for Conformity Assessment
- 1.30 **CCAA:** China Certification and Accreditation Association
- 1.31 **HKAS:** Hong Kong Accreditation Services
- 1.32 **HKICA :** Hong Kong Institute of Certified Auditors
- 1.33 **IRCA:** International Register of Certificated Auditors

For any other terms not listed above, the relevant definitions in ISO/IEC 17000:2004 and the International Vocabulary of Basic and General Terms in Metrology apply.



2 REFERENCES

- 2.1 IPC (BD-05-007) “Specification for the Development of Examinations as Part of a Certification Scheme for MS Auditors”
- 2.2 ISO 19011: 2011 “Guidelines for auditing management systems”
- 2.3 ISO 9001:2008 “Quality Management System - Requirements”
- 2.4 BS EN ISO/IEC 17024:2012 “Conformity assessment — General requirements for bodies operating certification of persons”
- 2.5 ISO/IEC 17021:2011 “Conformity assessment — General requirements for bodies providing audit and certification of management systems”
- 2.6 CNAS-CC03:2014 “General requirements for bodies operating certification of persons (ISO/IEC 17-24:2012, IDT)”



3 PROCEDURE AND FORM

Complainant and appellant can download the document HKICA06 《Appeal and Complaint Procedure》 and the form HKICA-F04“Appeal Form” from the website of HKICA. Hardcopy of the document and form will be provided upon request.

4 COMPLAINT PROCEDURE

- 4.1 Complaint is an expression of dissatisfaction with the services provided by the Certification Body through formal notification which in the opinion of the Certification Body acting in good faith warrants further investigation.
- 4.2 Complaint can be criticism of :
- (a) personnel involved in the certification activities;
 - (b) Certification Scheme procedure;
 - (c) an examiner ;
 - (d) an approved training provider or trainer;
 - (e) a Certification Scheme certificate holder.
- 4.3 Complaint should be raised formally in written form and signed. Anonymous complaint will not be handled.
- 4.4 The Operation Manager shall acknowledge in writing the receipt of the complaint via e-mail within 2 days on receipt of the complaint.
- 4.5 The Operation Manager should gather all necessary information from the parties concerned in order that the case can be fully assessed by internal investigation.
- 4.6 After review of all information, the Certification Body shall decide whether the case will put forward to the Governing Council.



- 4.7 The Governing Council shall take into consideration all of the material submitted when reaching a decision. No person having a direct interest in the case of complaint in hand shall serve on the Board.
- 4.8 The Council may interview any person involved in the matter.
- 4.9 Based on the outcome of the investigation, the Operation Manager shall provide the complainant with a formal response/explanation by e-mail or letter normally within two months from receipt of the complaint notifying the investigation results and actions taken, if any.
- 4.10 The complaint is deemed to have been settled to the complainant's satisfaction if there are no further queries raised by the complainant after a period of 15 working days.

5 APPEAL PROCEDURE

- 5.1 An appeal is lodged by applicant, candidate or certified person against any decision made or action taken by the Certification Body.
- 5.2 A written request detailed in HKICA F04 "Appeal Form" setting out the grounds of the appeal shall be submitted to the Secretariat within one month after the decision or action has been made or taken.
- 5.3 The Secretariat acknowledges the receipt of the appeal by informing the appellant by e-mail or other means in written form within 5 working days after receipt of the payment of the required expenses. Appeal process is initiated.
- 5.4 The Secretariat should gather all necessary information from the parties concerned in order that the case can be fully assessed by the Appeal Board.
- 5.5 Appeal is handled by correspondence normally by e-mail with the appellant who should submit written representations, and attendance in person before the Board may be arranged only if special circumstances prevail (as judged by the Board).



- 5.6 The Board may interview any person involved in the matter, such as staff of the Secretariat, the examiner, the staff of organization the appellants belonged to. Records of investigation including details of interviews, checking or examination marks and consultation with experts should be maintained.
- 5.7 Where the Board cannot, for whatever reason, reach a decision, the Board may seek assistance and expert advice from other examiners and independent experts in relevant auditing/certification activities. Based on the additional information collected, decision shall be made by the Board.
- 5.8 Based on the decision made in the report, the Operation Manager acting on behalf of the Certification Body, shall formally give a written reply normally by e-mail to the appellant concerning the results of the appeal. The decision will be final and conclusive. No further appeal is allowed except there is special permission from the Certification Body.
- 5.9 The Secretariat shall provide the appellant with a formal response/explanation by e-mail or letter within two months from receipt of the appeal.
- 5.10 Penalty or additional pre-requisite requirements shall not be imposed on the appellants for certification, re-certification, etc.

6 APPEAL BOARD

6.1 Members of the Appeal Board

- (a) do not involve in decision of the related certification activities. One member of the Board should preferably have technical expertise relevant to the appeal under consideration.
- (b) No person having a direct interest in the case of appeal in hand shall serve on the Board.



Hong Kong Institution of Certified Auditors

HKICA06E Appeal and Complaint Procedure

Issue 2.1 Effective Date: 27 January 2016

6.2 Members of the Appeal Board are responsible:-

- (a) to investigate the appeal lodged by candidates against the decision of the Certification Body;
- (b) to review and check the examination papers and witness evaluation reports;
- (c) to conduct interview with the appellants, examiners, or any other persons relevant to the appeal cases;
- (d) to make decision on the appeals and inform the Governing Council of the decision; and
- (e) to suggest correction and corrective actions in improving the system in order to prevent recurrence of valid appeal of similar nature.

主办机构

Organised by



Hong Kong Institution of Certified Auditors
香港专业审核师学会

"Any opinions, findings, conclusions or recommendations expressed in this material/event (or by members of the Project team) do not reflect the views of the Government of the Hong Kong Special Administrative Region, Trade and Industry Department or the Vetting Committee for the SME Development Fund and the Dedicated Fund on Branding, Upgrading and Domestic Sales (Organisation Support Programme)."

“在此刊物上／活动内（或项目小组成员）表达的任何意见、研究成果、结论或建议，并不代表香港特别行政区政府、工业贸易署及中小企业发展支援基金及发展品牌、升级转型及拓展内销市场的专项基金机构支持计划评审委员会的观点。”

「中小企业发展支援基金」拨款支助
Funded by SME Development Fund



工业贸易署
Trade and Industry Department