



**Hong Kong Institution of Certified Auditors**

**香港專業審核師學會**

**HKICA-CC01E**

**Certification Scheme of Quality Management Auditors**

**Certification Criteria**

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

Issue: 2.2 AMD 2

Document code: HKICA-CC01E

Issue date: 05.01.2018

Effective date: : 05.01.2018

@ Copyright 2016 Hong Kong Institution of Certified Auditors



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System  
Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

## **Table of Content**

Section	Section Title	Page
--	Table of Content	(i)
--	Foreword	(ii)
1	Scope	1
2	References	1
3	Terms and Definitions	2
4	Scope of Certification	6
5	Certification Criteria	7
6	Certification Process	13
7	Appeal and Complaint	17
8	Actions against Certification Status	18



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

## 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](mailto: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, IPC\_PL\_11\_006 and CNAS-CC03:2014;
  - (d) to deliver auditing related seminars and workshops which are of common interests to local auditing profession;



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

- (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.

### 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.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

4. The initial establishment and operation of the Scheme CSQMSA is sponsored by SME Development Fund (SDF) of the Trade and Industry Department. The Hong Kong Institution of Certified Auditors is the sole organization in Hong Kong providing the certification service for Quality Management System Auditor.
  - 4.1. The benefits of certification include:
    - 4.1.1. recognition and prestige for the individual and creation of a competitive advantage over non-certified individuals in the same field;
    - 4.1.2. enhanced employment opportunities;
    - 4.1.3. establishment of a professional standard for individuals in a particular auditing field;
    - 4.1.4. assistance to employers in making more informed recruitment decisions;
    - 4.1.5. a more productive and highly trained workforce for employers;
    - 4.1.6. enhanced professional impression on customers;
    - 4.1.7. assistance to customers in making informed decisions about qualified auditors and prevention of using incompetent and unfit practitioners; and assurance of the accuracy and validity of auditing results.
5. This “Criteria” is established by HKICA based on IPC (BD-05-007) “Specification for the Development of Examinations as Part of a Certification Scheme for MS Auditors”. The objective of the Scheme is to ensure the knowledge, competence and personal attributes of QMS auditors in meeting the quality requirements of auditing operation.
6. The mechanism of evaluation of competence of HKICA- QMS auditors as stipulated in this “Criteria” is based on the concept and requirements of BS EN ISO/IEC 17024:2012 “Conformity assessment — General requirements for bodies operating certification of persons”, CNAS ““General requirements for bodies operating certification of persons (ISO/IEC 17-24:2012, IDT)” and ISO 19011: 2011 “Guidelines for auditing management systems”.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

## 1. SCOPE

- 1.1. This document prescribes procedures by which personnel may be examined and, if successful, certified as quality management system auditor.

## 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. ISO 9001:2015 “Quality Management System - Requirements”
- 2.5. BS EN ISO/IEC 17024:2012 “Conformity assessment — General requirements for bodies operating certification of persons”
- 2.6. ISO/IEC 17021:2011 “Conformity assessment — General requirements for bodies providing audit and certification of management systems”
- 2.7. CNAS-CC03:2014 “General requirements for bodies operating certification of persons (ISO/IEC 17024:2012, IDT)”
- 2.8. IPC\_PL\_11\_006 “Certification Scheme for Management System Auditors”
- 2.9. IPC-PL-14-05 “Common requirements for IPC certification schemes”



### 3. TERMS AND DEFINITIONS

In view of any difference of the terms and definition giving below and other standards, the definitions as stipulated in this Criteria will be followed.

- 3.1. **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.
- 3.2. **Certification scheme competence:** and other requirements related to specific occupational or skilled categories of persons.
- 3.3. **Certification requirements:** set of specified requirements, including requirements of the scheme to be fulfilled in order to establish or maintain certification.
- 3.4. **Scheme owner:** organization responsible for developing and maintaining a **certification scheme**.
- 3.5. **Certificate:** document issued by a certification body under the provisions of this International Standard, indicating that the named person has fulfilled the **certification requirements**.
- 3.6. **Competence:** ability to apply knowledge and skills to achieve intended results.
- 3.7. **Qualification:** demonstrated education, training and work experience, where applicable.
- 3.8. **Assessment:** process that evaluates a person's fulfilment of the requirements of the **certification scheme**.
- 3.9. **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**.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System  
Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

- 3.10. **Examiner:** person competent to conduct and score an **examination**, where the examination requires professional judgement.
- 3.11. **Invigilator:** person authorized by the certification body who administers or supervises an **examination**, but does not evaluate the **competence** of the **candidate**.
- 3.12. **Personnel:** individuals, internal or external, of the certification body carrying out activities for the certification body.
- 3.13. **Applicant:** person who has submitted an application to be admitted into the **certification process**.
- 3.14. **Candidate applicant:** who has fulfilled specified prerequisites and has been admitted to the **certification process**.
- 3.15. **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.)
- 3.16. **Fairness:** equal opportunity for success provided to each **candidate** in the **certification process**.
- 3.17. **Validity:** evidence that the **assessment** measures what it is intended to measure, as defined by the **certification scheme**.
- 3.18. **Reliability:** indicator of the extent to which **examination** scores are consistent across different examination times and locations, different examination forms and different **examiners**.
- 3.19. **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.
- 3.20. **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.





Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System  
Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

3.21. **Interested party:** individual, group or organization affected by the performance of a certified person or the certification body.

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

3.23. **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.

3.24. **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.

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

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

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



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

Note1: One auditor (excluding trainee auditor or assistant auditor) of the audit team is appointed as the audit team leader.

Note 2: The audit team may include trainee auditor or assistant auditor.

3.28. **Complete audit:** the entire audit process from preparation to reporting in accordance with ISO 19011 or ISO/IEC 17021

3.29. **CNAS:** China National Accreditation Service for Conformity Assessment

3.30. **CCAA:** China Certification and Accreditation Association

3.31. **HKAS:** Hong Kong Accreditation Services

3.32. **HKICA :** Hong Kong Institute of Certified Auditors

3.33. **IRCA:** International Register of Certificated Auditors

3.34. **IPC:** International Personnel Certification Association

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.



#### 4. SCOPE OF CERTIFICATION

##### 4.1. Internal auditor

Internal auditors, evaluated by HKICA, are certified to possess the knowledge and practical experience in first party internal audit.

##### 4.2. Assistant auditor

Assistant auditors, evaluated by HKICA, are certified to possess basic knowledge in audit and participate in audit but they cannot conduct the audit independently.

##### 4.3. Auditor

Auditors, evaluated by HKICA, are certified to possess the knowledge, skill and competence in taking the role as auditor and capable of conducting an audit independently. They can work under supervision of a Lead auditor in leading an audit.

##### 4.4. Lead auditor

Lead auditors, evaluated by HKICA, are certified to possess the knowledge, skill and competence in organizing and taking the role as lead auditor and capable of organizing, leading and communicating effectively with auditee. They are experienced auditor and should provide supervision and assistance to trainee auditors and assistant auditor.

##### 4.5. Auditing persons are normally certified by HKICA either as Internal or Assistant Auditors and then advance to the next level. Person fulfilling the certification criteria and demonstrate competence in the evaluation can be directly certified as Auditor or Lead Auditor.



## 5. CERTIFICATION CRITERIA

Candidate applicants shall have a combination of education, training and experience as stipulated in Clauses 5.1. to 5.4. AND satisfying the assessment requirement in Clause 5.5 OR to ensure that they fulfill the certification criteria.

### 5.1. Academic qualification, working experience and professional working experience:

#### 5.1.1. Internal Auditor

- (a) Higher Diploma, Associate degree or equivalent and 2 years of professional experience; or
- (b) registered Internal Auditor of HKICA and 2 years of professional working experience.

#### 5.1.2. Assistant Auditor

- (a) degree or equivalent and 1 year of working experience; or
- (b) certified Internal Auditor and 1 year of post-certified professional working experience; or
- (c) registered Internal Auditor of HKICA and 3 years of post-certified professional working experience.

#### 5.1.3. Auditor

- (a) degree or above and 4 years of working experience with a minimum of 2 years of professional experience; or
- (b) certified Assistant Auditor and 3 years of post-certified professional working experience; or
- (c) registered Auditor of HKICA, IRCA or equivalent certification body; or
- (d) certified Auditor of CCAA, RABQSA International or equivalent certification body accredited for ISO/IEC 17024.



#### 5.1.4. Lead Auditor

- (a) degree or above and 15 years of working experience with a minimum of 12 years of professional experience; or
- (b) certified Auditor and 6 years of post-certified professional working experience; or
- (c) registered Lead Auditor of HKICA, IRCA or equivalent certification body; or
- (d) certified Lead Auditor of CCAA 、 RABQSA International or equivalent certification body accredited for ISO/IEC 17024.

5.1.5. Only post graduate experience is counted, research work is accountable for 50%.

5.1.6. The professional experience may be concurrent with working experience. Professional experience refers to implementation, operation, and/or auditing of quality management system (QMS) or similar management system, which provides the practical knowledge necessary to effectively audit the QMS.

Note: Applicants for certification shall provide documentary evidence of work experience; this evidence may be presented in the form of employer references giving information on work actually carried out and positions held.

## 5.2. Auditing experience

5.2.1. Internal Auditor shall have at least one year of auditing experience.

5.2.2. Assistant Auditor does not have any specific auditing experience requirements.

5.2.3. Auditor shall have acted as a member of an audit team under the direction of a competent QMS lead auditor on at least 4 complete QMS audits the total duration of which shall be a minimum of 20 days auditing with a minimum of 12 days on site. All auditing experience shall have been gained in the three-year period immediately prior to application. The applicant shall have attained satisfactory performance in witness evaluation covering the requirements of ISO19011:2011 Clause 7.2.3.2a. The evaluation can be carried out by auditor or above of nominated certification body or accreditation officer of accreditation body.



5.2.4. The applicant for Lead Auditor shall possess at least six years of auditing experience. The applicant shall have acted as a member or lead of an audit team on at least 3 complete MS audits the total duration of which shall be a minimum of 12 days auditing with a minimum of 8 days on site. All auditing experience shall have been gained in the three-year period immediately prior to application.

5.2.5. Acceptable audits

(a) Third party audits performed under Certification Body(ies) accredited by HKAS or an accreditation body having mutual recognition agreement with HKAS.

(b) Second party audits under reputable organization(s).

### 5.3. **Knowledge and competence requirements**

Details of knowledge and competence requirements of different levels of certification are described in HKICA-CC02 “Examination Syllabus for Quality Management System Auditor”.

Fulfilling the examination requirements in Clause 5.5 means that the knowledge and competence requirements are complied.

### 5.4. **Training**

5.4.1. The candidate shall complete 16-hours of QMS internal audit training course. The course should be approved by HKICA、CCAA、RABQSA International or similar certification bodies accredited for ISO/IEC 17024; other certification bodies acceptable to HKICA or in-house training conducted by HKICA certified auditor or lead auditor.

5.4.2. The candidate for Assistant Auditor does not have any specific training requirements.

5.4.3. The candidate for Auditor and Lead Auditor shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses approved by the HKICA、CCAA、RABQSA International or similar certification bodies accredited for ISO/IEC 17024 or other certification bodies acceptable to HKICA. The training course shall comply with ISO19011:2011Section 7.2.4 and shall consist of a sum of



at least 40 hours clearly defined learning units.

5.4.4. “Procedures for approval of Training Organization and Training Course” is outlined in HKICA02.

## 5.5. Examination requirements

### 5.5.1. Internal Auditor

The candidate applicant shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses as given in C.5.4.1. If the training course is a in-house training conducted by HKICA certified auditor or lead auditor or if the training course is not approved by approved by the HKICA 、CCAA 、RABQSA International or similar certification bodies accredited for ISO/IEC 17024, the applicant shall obtain satisfactory results in the “Basic Knowledge” examination organized by HKICA within 3 years before application for fulfillment the requirements as stipulated in this Criteria.

### 5.5.2. Assistant Auditor

The Candidate applicant shall obtain satisfactory results in the “Basic Knowledge” examination organized by HKICA within 3 years before application.

### 5.5.3. Auditor

The candidate applicant shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses as given in C.5.4.3. If the training course is not approved by approved by the HKICA 、CCAA 、RABQSA International or similar certification bodies accredited for ISO/IEC 17024, the applicant shall obtain satisfactory results in the “Auditing Knowledge and Techniques” examination organized by HKICA within 3 years before application.

### 5.5.4. Lead Auditor

5.5.4.1 The candidate applicant shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses as given in C.5.4.3. If the training course is not approved by approved by the HKICA 、CCAA 、RABQSA International or similar certification bodies accredited for ISO/IEC 17024, the applicant for Lead Auditor shall obtain satisfactory results in the



“Management Theory and Application Techniques” examination organized by HKICA within 3 years before application. Applicants fulfilling C.5.1.4a) can select interview evaluation for fulfillment the requirements as stipulated in this Criteria; OR

5.5.5. Candidate applicants, with recognised professional or equivalent in the corresponding field of application, satisfying one of the following requirements and passed the “Management Theory and Application Techniques” examination, OR comprehensive interview evaluation assessment can be directly granted to the corresponding field management system Lead Auditor qualification.

- a) In the corresponding field engaged in professional work for more than 15 years;
- b) Prominent achievements in management theory and practice in the corresponding field (with supporting documents or recommendation issued by the competent institution / authority recognised by HKICA).

5.5.6. The syllabus of examination for different level of applications are given in details in HKICA-CC02 “Certification Scheme for Quality Management System Examination Syllabus”

5.5.7. Examination can be waived for applicants holding same certification status granted by CCAA, RAB International or certification bodies accredited for ISO17024. The status should be same or above the level of application.

#### 5.6. **Code of Conduct**

All level shall declare and commit to abide by the Code of Conduct as stipulated by HKICA.

#### 5.7. **Initial certification**

5.7.1. Applicants shall fulfill all criteria as stipulated in C.5.1. to 5.6. of this document. They shall be nominated either by working organization or certified personnel.

5.7.2. The academic, working, professional working, auditing experience and training experience will be reviewed and assessed by the Qualification Board.





Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System  
Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

- 5.7.3. Applicant fulfill the examination requirements also considered as fulfilling the knowledge and competence requirements.
- 5.7.4. The personal attribute and ethics is certified either by the working organization or person nominating the applicant. The referee shall be a HKICA certified personnel with good reputation (excluding Internal and Assistant Auditor). He/She shall well familiar with the auditing experience and personal attributes of the applicant.
- 5.7.5. The Governing Council of HKICA will summarize the evaluation results of all the above certification criteria and make certification decision.

#### 5.8. **Monitoring and Re-certification requirements**

5.8.1. Annual verification requirements: Certified Internal Auditor, Assistant Auditor and Lead Auditor should complete at least 10 continuing professional development units (CPDUs) of which 5 shall be approved by HKICA. (1 contact hour is normally equivalent to 1 CPDU); Certified Auditor should complete at least 20 continuing professional development units (CPDUs) of which 10 shall be approved by HKICA. (1 contact hour is normally equivalent to 1 CPDU).

5.8.2. Re-certification audit requirements:

- a) Certified Auditor shall complete at least one QMS audit annually and 4 complete QMS audit or equivalent partial audits. If they cannot fulfill the audit requirements, they shall obtain satisfactory results in the assessment as specified in 5.5.3 by either attending approved training course and obtain certificate of achievement or obtaining a pass in re-the examination as specified in C.5.5.3 to demonstrate their continuing compliance with the certification criteria.

Remark: 3 partial audits is equivalent to one complete audit. This remark applies only to re-certification.

- b) Certified Internal Auditor, Assistant Auditor and Lead Auditor shall complete at least two QMS audits or equivalent audits per each re-certification cycle. If they cannot fulfill the audit requirements, they shall obtain satisfactory results in the assessment as specified in clause 5.5.1, 5.5.2 and 5.5.4 respectively by either attending approved training course and obtain certificate of achievement or obtaining a pass in re-sitting the examination as specified in clause 5.5.1, 5.5.2 and

5.5.4 to demonstrate their continuing compliance with the certification criteria.

5.8.3. Monitoring criteria :

- a) HKICA monitors the performance and personal behavior and compliance of Code of Conduct of certified persons through complaints against the person, feedback of the nominated organizations and organizations being audited by the certified persons and annual verification evidence.
- b) All personnel irrespective of levels certified shall undergo at least one monitoring exercise within the 3-year re-certification cycle.
- c) Methods of monitoring:
  - i) review of on-site evaluation report of accreditation body;
  - ii) review of evaluation of performance and competence conducted by the certification body on the applicant (e.g. review of certification file, audit report and witness evaluation report, etc.)
  - iii) results of interview assessment conducted by HKICA.

5.8.4. Certified personnel should take appropriate corrective actions if the following problems are encountered:

- a) Complaints in relation to performance of their audit are not resolved;
- b) Unsatisfactory results in on-site evaluation; or
- c) Fail in interview-assessment.

5.8.5. HKICA can conduct interview assessment in monitoring the audit activities and performance of certifies personnel, HKICA may suspend or terminate one's certification status in case there is no improvement of the above situations.

5.8.6. Re-certification follows the same procedures as initial certification.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System  
Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

## 6. CERTIFICATION PROCESS

### 6.1. Initial application

- 6.1.1. Applicants shall read and understand the requirements of this Certification Criteria.
- 6.1.2. Applicants can submit their application by email or by post with all necessary information including certificate of academic qualifications, certificate of achievement in training courses, audit log and any related documents together with the application fee. The application form is available for download from the HKICA website or available upon request. Applicants can also submit their application following the on-line application system and upload the required documents and fee.
- 6.1.3. Applicants shall provide complete and accurate information and evidence.
- 6.1.4. Applicants shall sign the declaration in the application form. They shall commit to abide to the requirements of the HKICA certification criteria particularly the criteria of Code of Conduct.
- 6.1.5. No applications can be confirmed until receipt of a correctly completed application form and the full fees.
- 6.1.6. In the event of false statements being discovered, any certificate awarded will be revoked and declared null and void.
- 6.1.7. Applicants shall apply in written form for request for accommodation of special needs for the certification process or release of information. The Certification Body shall provide assistance to the applicant as far as practicable.
- 6.1.8. Applicant for certification or certified persons shall pay the fee as stipulated in HKICA03 “Schedule of Fees for Person Certification”. Once the certification process starts, the certification fee is non-refundable despite results of certification.
- 6.1.9. Recommendation on certification of a candidate shall be made solely on the basis of the information gathered during the certification process by the examiners.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

6.1.10. The Governing Council of HKICA reviews the recommendation and concludes the certification decision. Members of the Council shall not be involved in the examination and/or evaluation processes.

## 6.2. **Certification notice and certification certificate**

6.2.1. HKICA shall inform results of certification within 15 calendar days after certification decision by Governing Council.

6.2.2. HKICA shall upload the certification notice and issue certification/re-certification certificate, the certificate is valid for 3 years. HKICA will inform the nominated organizations or the applicants of unsuccessful certification.

6.2.3. The certificates are signed by the President of the Certification Body and shall contain, as a minimum, the following information:

- (a) name of the certified person and certificate number (unique identification);
- (b) name and logo of the Certification Body (HKICA);
- (c) reference to the certification criteria HKICA-CC01 and year of issue on which the certification is based;
- (d) the scope of certification, including level and limitations; and
- (e) effective date of certification and date of expiry.

6.2.4. Certified persons shall follow HKICA01E “Regulations for Certification Scheme of Quality Management System Auditor” Section 8 in the use of certificate and logo.

6.2.5. HKICA shall maintain sole ownership of the certificates. Certified persons shall stop use of the certificate during suspension or termination.

6.2.6. HKICA will upload the list of certified persons as public information to the website. The list includes:

- (a) name of certified person;
- (b) scope of certification and level;
- (c) certificate number;
- (d) certification date and expiry date.



### 6.3. Monitoring and Re-certification

- 6.3.1. It is the policy of the Certification Body to set monitoring and re-certification criteria for certified auditor. The criteria is taken in the form of annual verification (Section 5.8.1 of this document), audit in respective certified management system (Section 5.8.2 of this document), witness evaluation (Section 5.8.3 of this document), compliance with certification regulation and resolution of complaint against performance of the audit the auditor carried out.
- 6.3.2. Annual verification starts from the same month as certification in the following year. No verification is required for the first year of certification. Every year at the month of certification, the Secretariat will inform the certified auditors to pay for the annual fee and remind them to submit annual verification records.
- 6.3.3. If the certified personnel fail to submit and complete the annual verification, HKICA should follow Section 7 《Termination and Suspension》of HKICA01E 《Regulations for Certification Scheme of Quality Management Auditors》 to handle their certification status.
- 6.3.4. Candidates are required to re-certify before the period of certification validity, which is normally 3 years from the date of issue of the certificate, has expired. The Operation Manager shall alert the candidate three months before expiration of the certification by e-mail.
- 6.3.5. The candidate concerned shall go to the website and download the application form and shall submit payment and completed documentation, consisting of
- (a) application form for re-certification HKICA-F01;
  - (b) working experience in the past 3 years;
  - (c) monitoring records;
  - (d) records of Continuing Professional Development (HKICA-F03 “Record Log of Professional Development Units”); and
  - (e) audit logs (HKICA-F02”Audit Log”), if appropriate.
- 6.3.6. The Form HKICA -F01 is available in the Scheme website. Re-certified auditor can



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

either fill in the form and send to the Secretariat or submit the application via the scheme on-line application system.

- 6.3.7. The Operation Manager will review the records of CPDU, monitoring records and audit log to determine whether the re-certification candidate fulfils the CPDU and audit number requirements for his level.
- 6.3.8. The Operation Manager should arrange interview assessment to monitor the audit activities and performance of a certified candidate if he cannot provide records of monitoring.
- 6.3.9. The same procedures as initial certification shall be followed for decision of re-certification.

## **7. APPEAL AND COMPLAINT**

- 7.1. HKICA shall follow the procedures as stipulated in HKICA06E “Appeal and Complaint Procedure” to handle appeal and complaint.
- 7.2. Appellant shall submit their appeal in written form in HKICA-F04 “Appeal Form” within 30 days from related decision.
- 7.3. Appellant or complainant can download the document HKICA06E “Appeal and Complaint Procedure” and the form from the website. HKICA can provide the document and form upon request.



Hong Kong Institution of Certified Auditors

HKICA – CC01 Certification Criteria of Quality Management System Auditor – Certification Criteria

Issue 2.2 AMD 2 Effective Date: 5 January 2018

## 8. ACTIONS AGAINST CERTIFICATION STATUS

### 8.1. Actions against certification status

- 8.1.1. All certified persons shall ensure the information provided is valid and complete. In view of any false or fraud statement, HKICA will suspend or terminate the certification status in accordance with Section 7 of HKICA01E “Regulations for Certification Scheme of Quality Management System Auditor”.
- 8.1.2. The same procedures as 8.1.1 will be carried out in case the certified person fails to abide to Regulations as set by HKICA or fails to comply with the certification criteria. Warning, suspension, downgrade will be imposed. The final penalty is termination of certification status.
- 8.1.3. A certified auditing person may, on any personal reason by serving a written notice signed by the candidate, voluntarily suspends or terminates his/her certification for any or all of his/her certified activities.