



**Hong Kong Institution of Certified Auditors**

**香港專業審核師學會**

**HKICA-CC01SE**

**Supplementary Criteria for Certification Requirements  
of IPC Management System Auditors**

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

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HKICA – CC01SE Supplementary Criteria for Certification  
Requirements of IPC Management System Auditors

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## FOREWORD

This document is issued in English and shall be used in conjunction with HKICA CC01. 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: 852 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, CNAS-CC03:2014 and IPC-PL-11-006.
  - (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.

## 1. SCOPE

- 1.1. This document prescribes the procedures and additional requirements by which personnel may be examined and if successful, certified as International Personnel Certification Association (IPC) Management System (MS) Auditors / Lead Auditors.

## 2. REFERENCES

- 2.1. The supplementary criteria are established by HKICA based on the following documents:
- 2.2. (a) IPC-PL-11-006, issue 3, “IPC Certification Scheme IPC Management System Auditors”  
(b) HKICA – CC01 “Certification Criteria of Quality Management System Auditors”

## 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**.
- 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.

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. **IPC MS Auditor:** person with the demonstrated personal attributes and competence to initiate, plan, execute and report first and second party audits within quality or environment management in accordance with ISO 19011.
- 3.28. **IPC MS Lead Auditor:** person with the demonstrated personal attributes and competence to be an IPC Management System Auditors, and in addition are competent to lead an audit team of one or more additional auditors or technical experts. The lead auditors are able to initiate, plan, execute and report first-, second- and third-party audits within quality or environment management in accordance with ISO 19011 and ISO/IEC 17021-1 in the role as sole auditor, member of an audit team or as audit team leader.
- 3.29. **Audit team:** one or more auditors conducting an audit, supported if needed by technical experts.

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.

- 3.30. **Complete audit:** the entire audit process from preparation to reporting in accordance with ISO 19011 or ISO/IEC 17021
- 3.31. **CNAS:** China National Accreditation Service for Conformity Assessment
- 3.32. **CCAA:** China Certification and Accreditation Association
- 3.33. **HKAS:** Hong Kong Accreditation Services
- 3.34. **HKICA :** Hong Kong Institute of Certified Auditors
- 3.35. **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 IPC MS Auditors: person with the demonstrated personal attributes and competence to initiate, plan, execute and report first and second party audits within quality or environment management in accordance with ISO 19011.

4.2 IPC MS Lead Auditors: person with the demonstrated personal attributes and competence to be an IPC Management System Auditors, and in addition are competent to lead an audit team of one or more additional auditors or technical experts. The lead auditors are able to initiate, plan, execute and report first-, second- and third-party audits within quality or environment management in accordance with ISO 19011 and ISO/IEC 17021-1 in the role as sole auditor, member of an audit team or as audit team leader.

#### 5. **CERTIFICATION CRITERIA**

The certification criteria of this document shall be used in conjunction with HKICA–CC01. 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 fulfil the certification criteria

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

###### 5.1.1 IPC MS Auditors

- (a) certified HKICA Lead Auditor; or
- (b) certified HKICA Auditor; or
- (c) certified HKICA Internal Auditor and 2 years of post-certified professional working experience; or
- (d) certified Auditor of CCAA · RABQSA International or equivalent certification body accredited for ISO/IEC 17024.

###### 5.1.2 IPC MS Lead Auditors

- (a) certified HKICA Lead Auditor; or
- (b) certified HKICA Auditor; or
- (c) certified HKICA Internal Auditor and 2 years of post-certified professional working experience; or

- (d) certified Auditor of CCAA · RABQSA International or equivalent certification body accredited for ISO/IEC 17024.

5.1.3 Details of academic qualification, working experience and professional working experience of different levels of HKICA certification are described in HKICA-CC01 “Certification Criteria of Quality Management System Auditors” .

## **5.2 Auditing experience**

5.2.1 IPC MS Auditor: Candidate applicant shall have acted as a member of an audit team, team leader or as sole auditor on at least 4 complete audits, the total duration of which shall be a minimum of 20 days including preparation and reporting with a minimum of not less than 8 days on site.

5.2.2 IPC MS Lead Auditor: Candidate applicant shall satisfy all auditing and competence evaluation requirements for IPC MS Auditor, and shall have satisfactorily performed as a team leader in at least 3 of the audits required, as described in Clause 5.2.1 of this Document.

5.2.3 The experience shall comprise the entire audit process from preparation to reporting, in accordance with ISO 19011 or ISO/IEC 17021. This is referred to as a complete audit.

5.2.4 First party (internal audits), second party (audit of a supplier) and third party (audit by an independent organization) are acceptable audits.

## **5.3 Personal attributes, knowledge and skills**

### **5.3.1 Personal attributes**

Applicants for certification shall be able to demonstrate the personal behaviour necessary for the effective and efficient performance of the audit as defined in Section 7.2.2 of ISO 19011:2018 and Annex D of ISO/IEC 17021:2015

### **5.3.2 Knowledge and skills required to demonstrate by IPC MS Auditor:**

- a) Detailed knowledge of ISO 19011;
- b) Competence required to fulfil the needs for generic knowledge and skills for management system auditors according to ISO 19011:2018 Section 7.2.3.2;
- c) How to conduct interviews;

- d) How to collect and verify information;
- e) How to determine audit findings;
- f) How to prepare audit conclusions;
- g) Types of audits: management system audits, process and product audits;
- h) Principles, procedures and techniques of auditing;
- i) How to relate the auditee management system to the audit criteria;
- j) How to conduct an effective audit in the context of the auditee's organizational situation;
- k) How to evaluate a process approach and process performance;
- l) Regulations, and other specific considerations that are relevant to the management system to be audited including understanding of the context of the organization;
- m) Personal behaviour necessary for the effective and efficient conduct of a management system audit;
- n) Statistical methods: sampling techniques, basic statistical methods (bar-charts, pie-charts, line-charts and trend-charts);
- o) Audit related risks;
- p) How to communicate effectively with the auditee and audit client;
- q) How to evaluate the procedures common to the other management systems; and
- r) How to interpret an integrated management system.

### 5.3.3 Knowledge and skills required to demonstrate by IPC MS Lead Auditor:

- (a) All the skills and knowledge listed in Clause 5.3.2 of this Document for the Management Auditor;
- (b) Competence required to fulfil the needs of the audit program according to ISO 19011:2018 Section 7.2.1;
- (c) Competence required to fulfil the needs to generic knowledge and skills of an audit team leader according to ISO 19011:2018 Section 7.2.3.4
- (d) How to communicate with senior management;
- (e) How to establish, plan and execute the activities of an audit team;
- (f) How to organize and direct audit team members;
- (g) Conduct the opening and closing meeting
- (h) Represent the audit team with audit client and auditee
- (i) Provide direction and guidance to team members
- (j) Lead the audit team to reach audit conclusions
- (k) Prevent and resolve conflicts
- (l) How to read and evaluate an organization map (organogram);
- (m) How to determine appropriate business improvement tools;

- (n) How to evaluate the management system effectiveness; and
- (o) How to prepare and complete the audit report.

## **5.4 Training**

5.4.1 To ensure the development of necessary knowledge and skills for conducting audits in a consistent and systematic manner, candidate applicant 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 objectives of the training course shall ensure its students to acquire at applicable generic knowledge and skills as described in HKICA02E clause 3.1.

## **5.5 Examination Requirements**

### **5.5.1 IPC MS Auditor**

The candidate applicant shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses as given in Clause 5.4 and an oral examination. 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.

### **5.5.2 IPC MS Lead Auditor**

The candidate applicant shall obtain certificates of achievement (satisfactory results in end-of-course evaluation) in training courses as given in Clause 5.4 and an oral examination. 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.

5.5.3 The written examination may be any type, or a combination of several types, of the following methods:

- (a) Multiple choice questions;
- (b) Short open questions;
- (c) Long open questions;
- (d) Situational judgement test; and

(e) Audit text analysis.

Questions shall be within the relevant area of competence described in Clauses 5.3.2 and 5.3.3 of this Document

5.5.4 The oral examination shall be any type of the following methods:

- (a) Structured interview (default);
- (b) Role play audit;
- (c) Case study; and
- (d) Observation / Witnessing

The oral examination shall be able to assess the personal attributes of the candidate applicant.

5.5.5 If the applicant has failed in the written or oral part of the examination, but passed in the other, re-examination may be granted for the failed part. The questions used in the re-examination shall be different from the previous examination taken.

## 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 fulfil all criteria as stipulated in Clauses 5.1 to 5.5 of this document. The academic, working, professional working, auditing experience and training experience will be reviewed and assessed by the Qualification Board.

5.7.2 The Governing Council of HKICA will summarize the evaluation results of all the certification criteria (including the results of written and oral examinations) and make the certification decision.

5.7.3 All IPC MS Auditor/ Lead Auditor certificates are valid for up to 3 years.

## 5.8 Re-certification requirements

5.8.1 Certified IPC MS Auditor / Lead Auditor shall maintain a valid certification of relevant HKICA MS Auditors.

5.8.2 Annual verification requirements: both certified IPC MS Auditor and Lead Auditor shall complete at least 16 continuing professional development units (CPDUs) per each re-certification cycle. (1 contact hour is normally equivalent to 1 CPDU).

5.8.3 Certified IPC MS Auditor shall complete a minimum of 3 complete MS audits or equivalent partial audits with at least 10 audit days on-site per each re-certification cycle.

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

5.8.4 Certified IPC MS Lead Auditor shall complete a minimum of 3 complete MS audits with at least 10 audit days on-site per each re-certification cycle. At least one of the audits required for re-certification shall be in the capacity of lead auditor or the sole auditor.

5.8.5 Recertification of IPC MS Auditor or IPC MS Lead Auditor may be performed in the time period of 6 months prior to expiry to 6 months after expiry. After 6 months upon expiry the certificate may not be recertified, a new application is required. All successful recertification is valid for up to 3 years.

5.9 Upgrade from IPC MS Auditor to IPC MS Lead Auditor

5.9.1 Upgrade of certificates shall be done in conjunction with re-certification. For any special request, HKICA may consider in a case-by-case basis.

5.9.2 Applicant who applies for upgrade of his/her IPC MS Auditor to IPC MS Lead Auditor, must have a valid IPC MS Auditor certificate issued by HKICA or from other IPC MLA PCB. He/she shall satisfy the assessment requirement in Clause 5.5 and the audit experience in Clause 5.2.2.

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 to ensure that they fulfill the certification criteria.