HKICA-CC01 Examination Syllabus

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CERTIFICATION SCHEME OF QUALITY MANAGEMENT SYSTEM AUDITOR (CSQMSA)

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HKICA-CC01

- Criteria established based on IPC (BD-05-007) "Specification for the Development of Examinations as Part of a Certification Scheme for MS Auditors"

- Mechanism of evaluation of competence is based on the concept and requirements of BS EN ISO/IEC 17024:2012 "Conformity assessment — General requirements for bodies operating certification of persons"

- Scope
  - Quality Management System

- Levels
  - Internal auditor
  - Assistant auditor
  - Auditor
  - Lead Auditor

- Certification Criteria
  - Academic qualification, working experience and professional working experience
  - Auditing experience
  - Training
  - Knowledge and competence requirements
  - Assessment requirements
  - Code of Conduct

- ## Professional working 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.
  - may be concurrent with working experience
- ## Working experience
  - post graduate working experience
  - research work: counted as 50% working experience
  -

- 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.

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

Academic qualification

- Assistant Auditor
  - degree or equivalent and 1 year of working experience; or
  - certified Internal Auditor and 1 year of post-certified professional working experience; or
  - registered Internal Auditor of HKICA and 3 years of post-certified professional working experience.

Academic qualification

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

Academic qualification

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

- Internal Auditor, Assistant Auditor and Lead Auditor
  - No auditing experience requirements

- Auditor
  - 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.
  - auditing experience shall have been gained in the three-year period immediately prior to application.
  - satisfactory performance in witness evaluation covering the requirements of ISO19011 Clause 7.2.3.2a.

- Witness evaluation can be conducted by
  - auditor or above of nominated certification body
  - accreditation officer of accreditation body

- Acceptable audits
  - Third party audits performed under Certification Body(ies) accredited by HKAS or an accreditation body having mutual recognition agreement with HKAS.
  - Second party audits under Government organization(s).

Knowledge, competence and Training

- Knowledge and competence
  - Given in HKCIA-CC02 Examination syllabus

- Training
  - certificates of achievement (satisfactory results in end-of-course evaluation) in training courses comply with ISO19011Section 7.4 and shall consist of a sum of at least 40 hours .

Assessment requirements

- ## Internal Auditor
  - no assessment requirement

- ## Assistant Auditor
  - satisfactory results in the "Basic Auditing Knowledge" examination organized by HKICA within 3 years before application.

Assessment requirements

- Auditor
  - obtain satisfactory results in the "Auditing Knowledge and Techniques" examination organized by HKICA within 3 years before application.no assessment requirement

- Lead Auditor
  - obtain satisfactory results in "Management Theory and Application Techniques" examination organized by HKICA within 3 years before application.
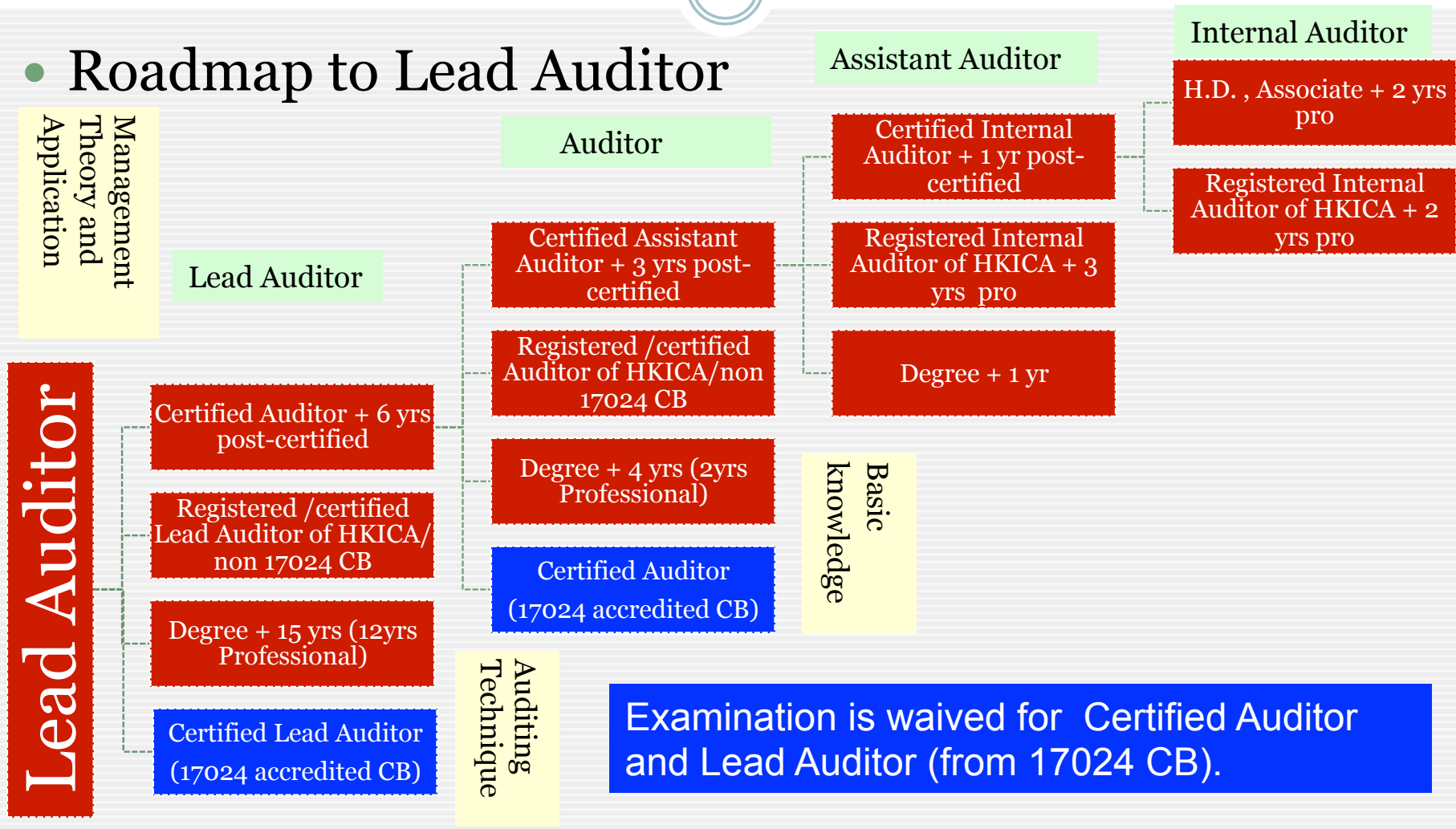
- Examination can be waived for applicants holding same certification status granted by CCAA, RAB International or certification bodies accredited for ISO17024.

- The status should be same or above the level of application.

Code of Conduct

- All levels
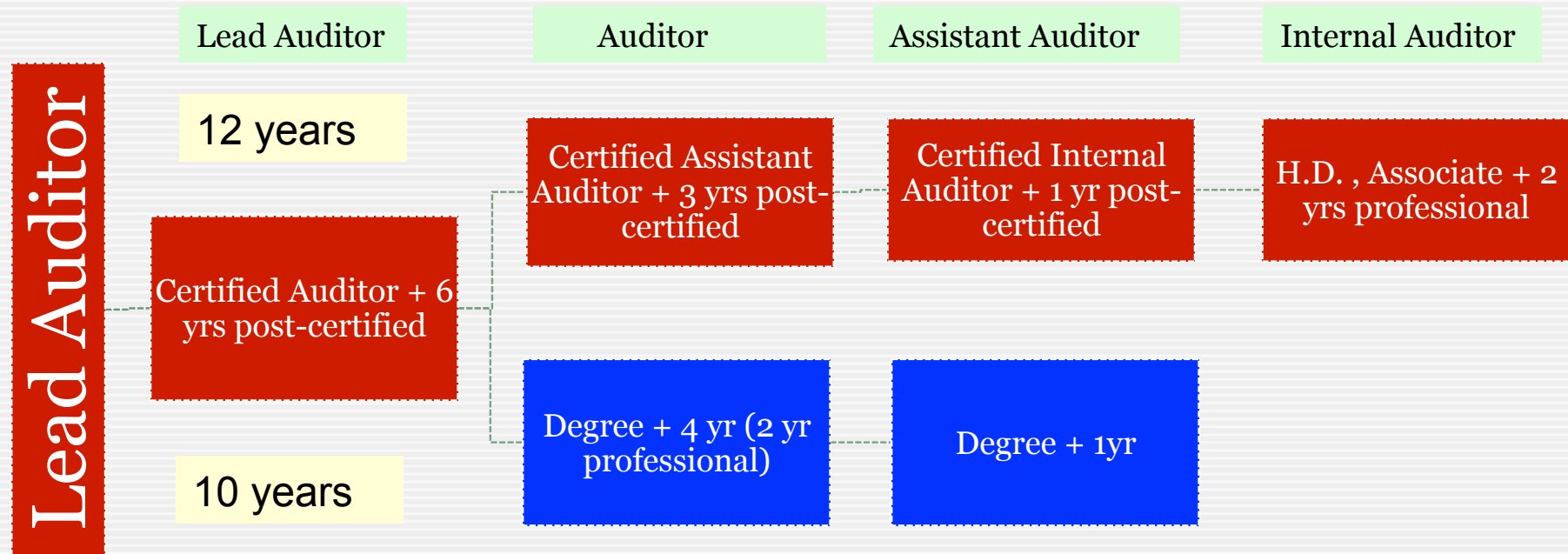 - declare and commit to abide by the Code of Conduct as stipulated by HKICA.

Path for upgrade

HKICA

- ## Roadmap to Lead Auditor

Management Theory and Application

Lead Auditor

Lead Auditor

- Certified Auditor + 6 yrs post-certified
- Registered /certified Lead Auditor of HKICA/ non 17024 CB
- Degree + 15 yrs (12yrs Professional)
- Certified Lead Auditor (17024 accredited CB)

Auditing Technique

Auditor

- Certified Assistant Auditor + 3 yrs post-certified
- Registered /certified Auditor of HKICA/non 17024 CB
- Degree + 4 yrs (2yrs Professional)
- Certified Auditor (17024 accredited CB)

Basic knowledge

Assistant Auditor

- Certified Internal Auditor + 1 yr post-certified
- Registered Internal Auditor of HKICA + 3 yrs pro
- Degree + 1 yr

Internal Auditor

- H.D. , Associate + 2 yrs pro
- Registered Internal Auditor of HKICA + 2 yrs pro

Examination is waived for Certified Auditor and Lead Auditor (from 17024 CB).

Path for upgrade

- Roadmap to Lead Auditor

Lead Auditor	Auditor	Assistant Auditor	Internal Auditor

Lead Auditor

12 years

Certified Auditor + 6 yrs post-certified

Certified Assistant Auditor + 3 yrs post-certified

Certified Internal Auditor + 1 yr post-certified

H.D. , Associate + 2 yrs professional

10 years

Degree + 4 yr (2 yr professional)

Degree + 1yr

- HKICA03 SCHEDULE OF FEES FOR PERSON CERTIFICATION (CSQMSA)

Level of certification	Type of application/ examination	Fee (H.K.$)
Internal auditor	Initial application	500
	Annual subscription fee	300
	Re-certification	300
Assistant Auditor, Auditor and Lead Auditor	Initial application	1500
	Examination	500
	Annual subscription fee	1500
	Re-certification	1000
All levels to the next higher level	Application for upgrade	1000

Schedule of Fees

- HKICA03 SCHEDULE OF FEES FOR PERSON CERTIFICATION (CSQMSA)

Level of certification	Type of application/ examination	Fee (H.K. $)
All levels	Re-take examination	400
All levels	Appeal of examination results [Note 1]	2000
All levels	Appeal of downgrade, suspension and termination [Note 1]	2000
The above scale of fees is subjected to periodic review. All the above fees except that for appeal will be waived from 2 May 2015 to 29 February 2016.		

- Note 1: Appeal fee is non-refundable.

Certification Process

- Initial application
  - Application form HKICA-F01 or on-line application
  - sign the declaration in the application form
  - necessary information:
    - certificate of academic qualifications,
    - certificate of achievement in training courses,
    - evidence of working experience,
    - audit log.
  - apply in written form for request for accommodation of special needs for the certification process or release of information.

- Examination
  - Post on scheme website the venue for taking the examination
  - Applicant will receive an examination slip:
    - Candidate number
    - Date
    - Venue
    - Seat no.
    - Password for electronic examination paper

- Examination

  - Date of examination, candidates must bring along with examination slip, ID card and stationery. (no test standards are allowed).

  - Arrive 15 minutes before examination

- Certification decision

  - Examiners mark the examination paper

  - Decision reviewed and approved by members other than those involved in setting of examination paper or having potential conflict of interest with applicants.

- Certification decision
  - Normally within one month from examination
  - Successful applicants (certified persons) notified and certification certificate issued.
  - upload the list of certified persons to the website. The list includes:
    - name of certified person;
    - scope of certification and level;
    - certificate number;
    - certification date and expiry date. (3 years)

- Upgrade
  - Same procedures as initial application

- Re-certification
  - application form for re-certification HKICA-F01;
  - working experience in the past 3 years;
  - records of Continuing Professional Development (HKICA-F03 "Record Log of Professional Development Units"); and
  - audit logs (HKICA-F02"Audit Log"), if appropriate.

Annual verification requirements

- Internal Auditor, Assistant Auditor and Lead Auditor
  - 10 CPDUs (5 approved by HKICA) (1 contact hour is normally equivalent to 1 CPDU)

- Auditor
  - at least one complete QMS audit;
  - 20 CPDUs of which 10 are approved by HKICA (1 contact hour is normally equivalent to 1 CPDU)

- ## All levels
  - 3months before the expiry date
  - continue to abide to the Code of Conduct within the certification period;
  - resolve satisfactory complaints in relation to their audit performance;
  - complete the CPDUs as stipulated by HKICA.

- ## Auditor
  - Complete the annual verification activities;
  - Complete at least 4 complete QMS audit or equivalent partial audits.
  - 3 partial audits is equivalent to one complete audit

- Acknowledge

「中小企业发展支援基金」拨
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Trade and Industry
Department

- "Any opinions, findings, conclusions or recommendations expressed in this event 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)."

End of the Session
Thank you