



HKICA-CCo1 Certification Criteria



CERTIFICATION SCHEME OF QUALITY MANAGEMENT SYSTEM AUDITOR (CSQMSA)

- 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
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Working and professional working experience

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- 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.

- 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.

- 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 or equivalent certification body; or
 - certified Auditor of CCAA、RABQSA International or equivalent certification body accredited for ISO/IEC 17024.

- 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 or equivalent certification body; or
 - certified Lead Auditor of CCAA、RABQSA International or equivalent certification body accredited for ISO/IEC 17024.

- Internal Auditor
 - Minimum of 1 year auditing experience
- Assistant 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.

- Lead Auditor
 - Minimum of 6 years auditing experience
 - at least 3 complete QMS audits the total duration of which shall be a minimum of 12 days auditing with a minimum of 8 days on site.
 - auditing experience shall have been gained in the three-year period immediately prior to application.

- 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).
 - Second party audits under consultant organization(s).

- Knowledge and competence
 - Given in HKCIA-CCO2 Examination syllabus
- Training
- Internal Auditor
 - certificates of achievement (satisfactory results in end-of-course evaluation) in training courses approved by HKICA, CCAA RABRSA International, IRCA or courses conducted by other certification bodies or HKICA certified auditors/lead Auditors are and shall consist of a sum of at least 16 hours.

- Assistant Auditor
 - No training requirement.

- Auditor/Lead Auditor
 - 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 .

- Internal Auditor
 - no examination requirement with certificates of achievement (satisfactory results in end-of-course evaluation) in training courses approved by HKICA, CCAA RABRSA International, IRCA
 - obtain satisfactory results in the “Auditing Knowledge and Techniques” examination organized by HKICA within 3 years before application

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

- 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.

Assessment requirements

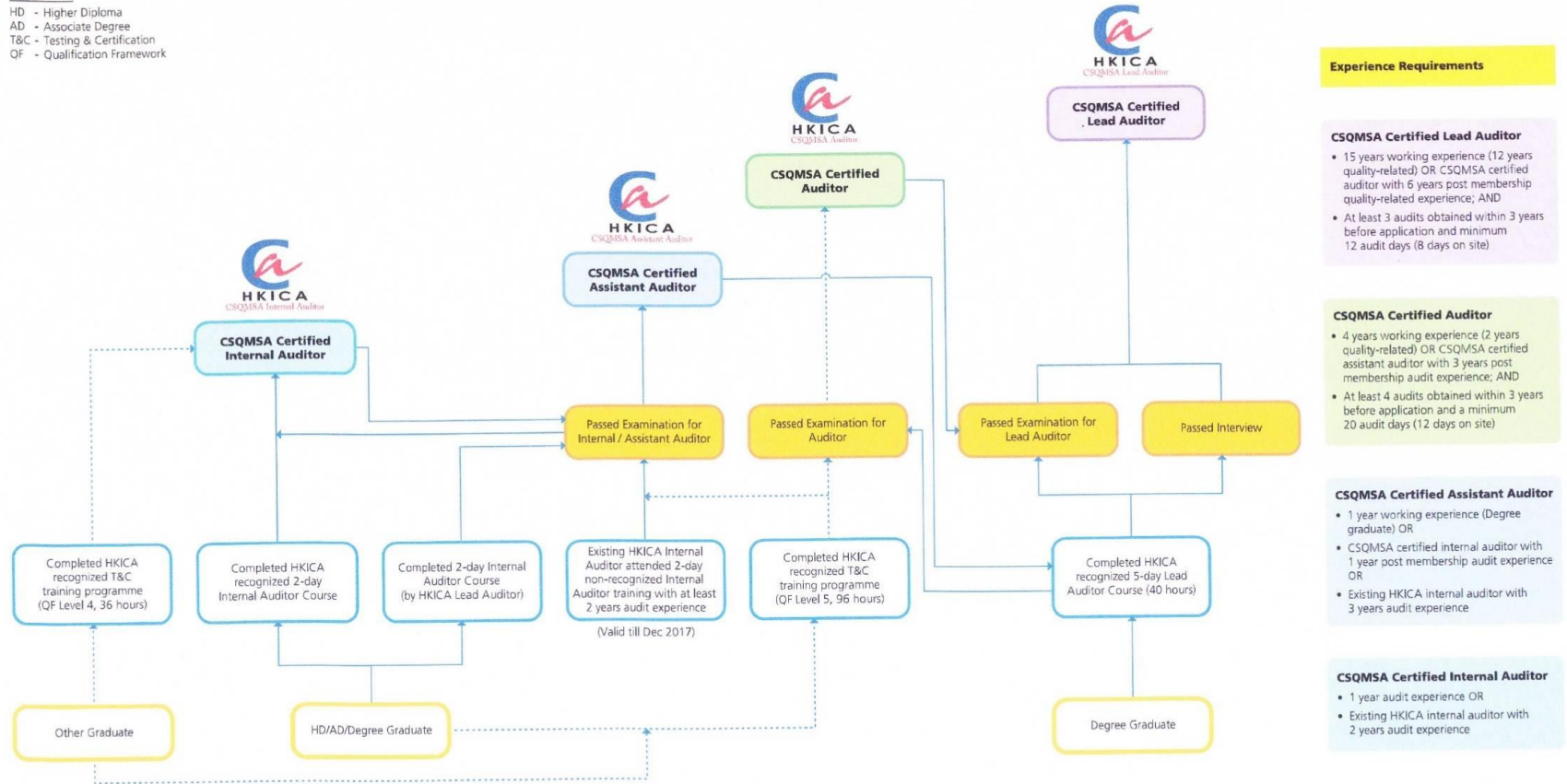
- Examination can be waived for applicants holding same certification status granted by CCAA, RAB International or certification bodies accredited for ISO17024.
- The status should be same or above the level of application.

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

Membership Pathway of CSQMSA Certified Auditors

Abbreviation

HD - Higher Diploma
 AD - Associate Degree
 T&C - Testing & Certification
 QF - Qualification Framework



Schedule of Fees

- HKICA03 SCHEDULE OF FEES FOR PERSON CERTIFICATION (CSQMSA)

Level of certification	Type of application/examination	Fee (H.K.\$)
Internal auditor	Initial application fee	600
	Written Examination	300
	Annual subscription fee	600
	Re-certification	600
Assistant Auditor	Initial application	1000
	Written Examination	300
	Annual subscription fee	1000
	Re-certification	1000

Schedule of Fees

- HKICA03 SCHEDULE OF FEES FOR PERSON CERTIFICATION (CSQMSA)

Level of certification	Type of application/examination	Fee (H.K.\$)
Auditor	Initial application fee	1200
	Written Examination	500
	Annual subscription fee	1200
	Re-certification	1200
Lead Auditor	Initial application fee	1500
	Written Examination	500
	Interview	800
	Annual subscription fee	1500
	Re-certification	1500
All levels to the next higher level	Application for upgrade	1000

- **HKICA03 SCHEDULE OF FEES FOR PERSON CERTIFICATION (CSQMSA)**

Level of certification	Type of application/examination	Fee (H.K.\$)
All levels	Re-take examination	300
All levels	Appeal of examination results ^{Note 1}	2000
All levels	Appeal of downgrade, suspension and termination ^{Note 1}	2000
All levels	Processing fee for register/re-certification/annual renewal as CCAA auditor (CCAA fee included)	800
The above scale of fees is subjected to periodic review.		

- Note 1: Appeal fee is non-refundable.

- Initial application
 - Complete application form HKICA-F01 or on-line application
 - sign declaration in section B of the application form
 - supporter sign sections C and D of 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 be informed before examination for date, venue and candidate number
 - Applicant will receive an examination slip on date of examination
 - ✦ Candidate no.
 - ✦ Seat no.
 - ✦ Keys for electronic examination paper

- Examination
 - Date of examination, candidates must bring along ID card and stationery (ISO 9001 and ISO 19011 standards will be provided).
 - Arrive 15 minutes before examination
- Certification decision
 - Examiners mark the examination paper
 - Decision reviewed and approved by members other than those involved in marking 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

- Annual verification

- Internal Auditor, assistant auditor and lead auditor
 - records of minimum of 10 CPD hours (5 approved by HKICA) (1 contact hour is normally equivalent to 1 CPDU) using (HKICA-F03 “Record Log of Professional Development Units)

- Annual verification
- Auditors
 - records of at least one QMS audit
 - records of minimum of 20 CPD hours (10 approved by HKICA) (1 contact hour is normally equivalent to 1 CPDU) using (HKICA-F03 “Record Log of Professional Development Units)(HKICA-F03 “Record Log of Professional Development Units)

- All levels
 - 3 months 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

- Internal Auditor, Assistant Auditor and Lead Auditor
 - Complete the annual verification activities;
 - Complete at least 2 complete QMS audit or equivalent partial audits.
 - 3 partial audits is equivalent to one complete audit

End of the Session
Thank you