Seminar on Quality, Certification and Professionalism

QMS Certification Scheme of Persons

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Background

- The Hong Kong Council for Testing and Certification set up in September 2009.

- Brand "Tested in Hong Kong, Certificated in Hong Kong" to promote the reputation of Hong Kong to **a very good standard** throughout the world. It can be helpful to act as **an independent party to provide services** and attract more foreign enterprises invest to the Testing and Certification industry in Hong Kong.

  For Testing and Certification Personnel
  - a very good standard ?
  - independent party to provide services ?

Guidelines for Auditing Management Systems

5.3.2   **Competence** of the **person managing the audit** programme

The person managing the audit programme should have the necessary competence to manage the programme and its associated risks effectively and efficiently, as well as knowledge and skills in the following areas:

— audit principles, procedures and methods;

— management system standards and reference documents;

— activities, products and processes of the auditee;

— applicable legal and other requirements relevant to the activities and products of the auditee;

— customers, suppliers and other interested parties of the auditee, where applicable.

The person managing the audit programme should engage in appropriate continual professional development activities to maintain the necessary knowledge and skills to manage the audit programme.

Quality (Certification Personnel)

Competence, Professionalism, Continuous Development

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Schemes Comparison

QSPSC Product Scheme

Auditor: A nominee of the Certification Body appointed to carry out Assessments.

Auditors who are eligible for auditing QSPSC must have the following training, experience and qualifications:
- Qualified IRCA or IATCA QMS auditor when performing audit in Hong Kong and Macau;
- Qualified CNAT QMS auditor when performing audit in China;
- With minimum one year concrete industry experience, or minimum one year quality management system audit experience for concrete industry;
- With relevant Higher Diploma in architecture, building, structural and civil engineering, or other related construction field.

Qualification

Other Product Schemes

Auditor: A nominee of the Certification Body appointed to carry out assessments.

Auditors are classified as Lead **and** Technical Auditors.

13.1 Lead Auditors who are eligible for auditing PCCS-CP quality management system shall have the following registration:
Registered IPC or Hong Kong Institution of Certified Auditors (HKICA) Lead Auditor in QMS or equivalent.

13.2 Technical Auditors who are eligible for auditing PCCS-CP technical management system shall have the following training, experience and qualifications:
- Registered HKICA Product Certification auditor in relevant fields or equivalent,
- A relevant Higher Diploma in architectural studies, building, materials science, structural or civil Engineering, or other related fields, and;
- With a minimum of two years xxxxxx industry technical experience, or a minimum of two years quality management system audit experience for xxxxxx manufacturing industry, or with appropriate training held by or acceptable to the Hong Kong Concrete Institute for this purpose.

Experience

Left: Letter

香港專業審核師學會
Hong Kong Institution of Certified Auditors

HKICA

18th December 2012

Dear Certification Bodies, PCCS Scheme Owner, HKAS, HA and other interested parties

Clarification letter on registration of product certification technical auditor

There is a concern on the availability of product certification technical auditors required in respective Product Conformity Certification Schemes (PCCSs) as published by the professional institutes. Hong Kong Institution of Certified Auditors (HKICA) would like to clarify the registration of product certification technical auditors as below:

1. It is the HKICA's view that the competence of technical auditors performing certification audits shall be evaluated through the appraisal system set up by the certification body. The CB is obliged to provide the required audit opportunity, factory visits for familiarization with manufacturing processes, resources for attending training courses necessary for updating product knowledge of their auditing personnel. Accordingly, **HKICA will accept applicants for the provisional technical auditor registration in the relevant field(s) with the nomination support from their CBs.**

2. The provisional technical auditor is deemed to have fulfilled the registration qualification requirement as required in the relevant PCCSs initially.

3. Currently FIVE product certification technical auditor registrations are available. Other categories of registration would be considered on a need basis in future.
   - Cementitious products
   - Fire engineering products
   - Tiles products
   - Aluminum windows products
   - Sanitary ware products

4. Technical auditors with relevant academic backgrounds (e.g. Higher Diploma in relevant construction fields) shall have at least 1 year relevant audit experience of the product for certification. Technical Auditors without relevant academic backgrounds shall require at least 2 years relevant audit experience. Lead Auditors with the technical auditor qualification and experience can be the same person when performing a product certification audit.

5. Technical auditors with audit log records covering FIVE third-party audits completed within three consecutive years and with at least one successful evaluation by accreditation body can apply for full registration as a "Technical Product Certification Auditor".

Please do not hesitate to contact the undersigned for further information.

Yours sincerely,

Ir. Dr Tommy Lo
President
The Hong Kong Institution of Certified Auditors

Right

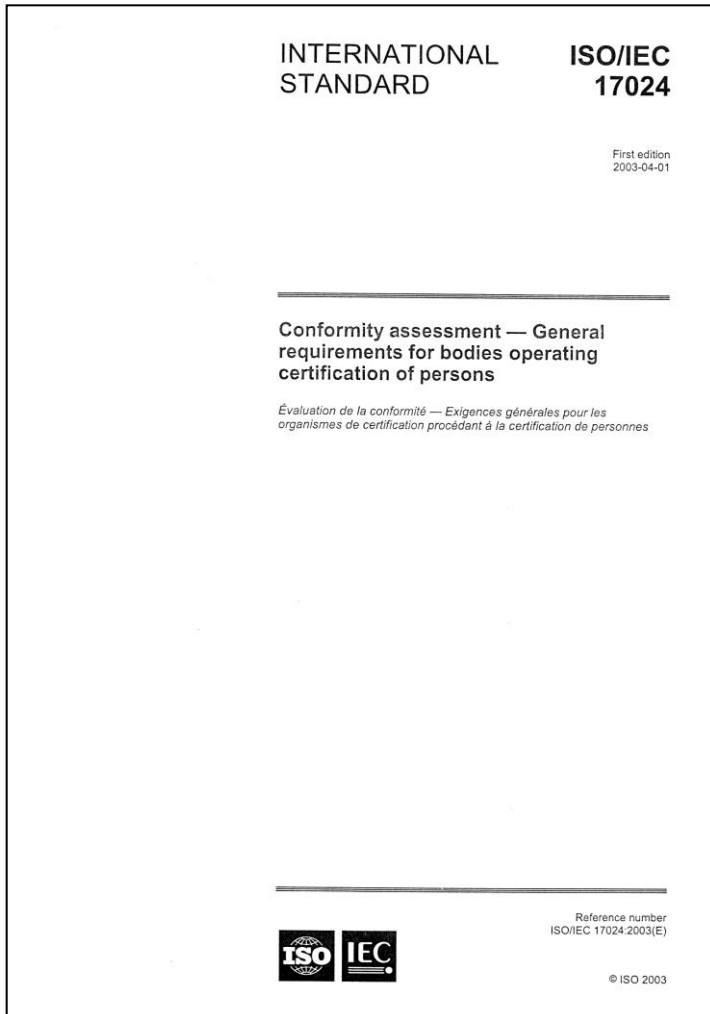### Product Certification Technical Auditor

It is the HKICA's view that the competence of technical auditors performing certification audits shall be evaluated through the appraisal system set up by the certification body. The CB is obliged to provide the required audit opportunity, factory visits for familiarization with manufacturing processes, resources for attending training courses necessary for updating product knowledge of their auditing personnel.

Audit Log Record

Technical auditors with audit log records covering FIVE third-party audits completed within three consecutive years and with at least one successful evaluation by accreditation body can apply for full registration as a "Technical Product Certification Auditor".

ISO/IEC 17024:2012
General Requirements for Personnel Certification Bodies/ Certification Bodies for Persons

INTERNATIONAL STANDARD

ISO/IEC 17024

First edition 2003-04-01

Conformity assessment — General requirements for bodies operating certification of persons

Évaluation de la conformité — Exigences générales pour les organismes de certification procédant à la certification de personnes

Reference number
ISO/IEC 17024:2003(E)

© ISO 2003

HKICA Aims

–To promote the status of ISO auditors to the public as a profession;

–To establish a local based ISO auditors registration system in accordance with ISO/IEC 19011;

–To set up personnel certification schemes according to the requirements of ISO/IEC 17024;
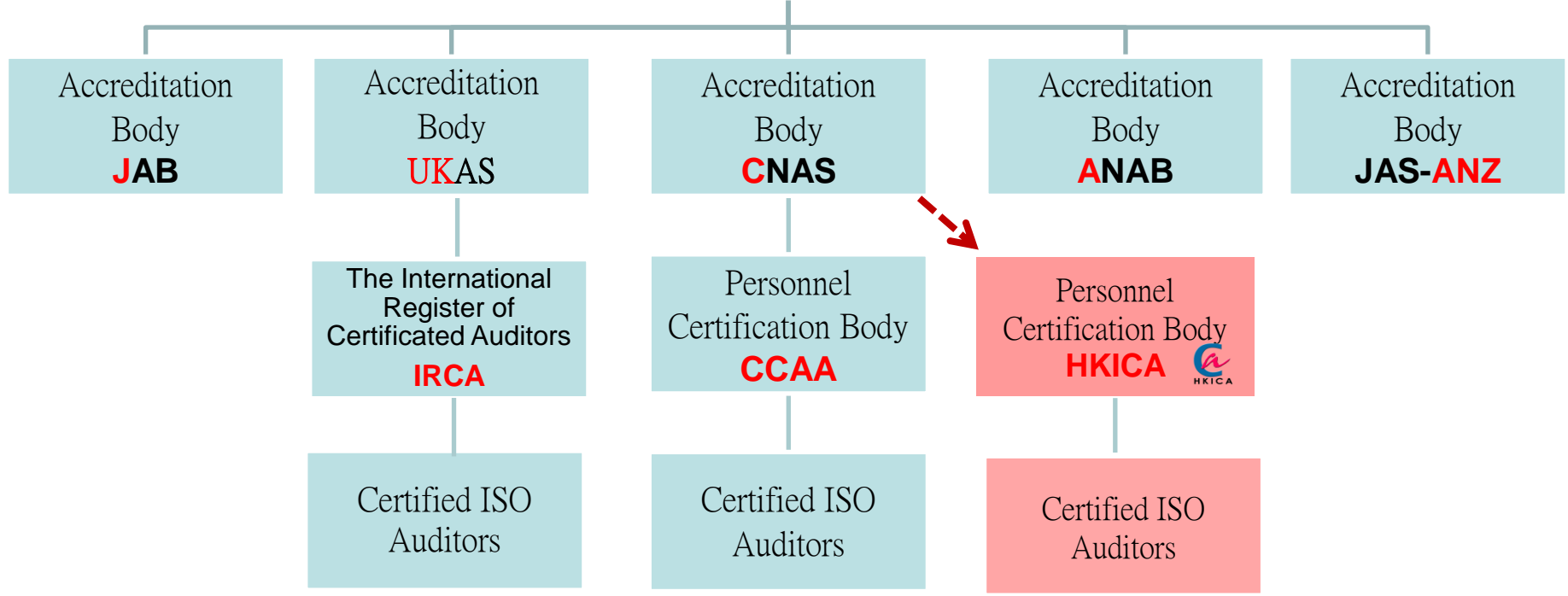
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SME Development Fund

Project Title

To upgrade the QMS personnel certification scheme of Hong Kong Institution of Certified Auditors (HKICA) in compliance with ISO/IEC 17024 for international accreditation.

提升香港審核師學會（HKICA）質量管理體系人員認證計劃以符合ISO / IEC 17024國際認證的要求

ISO — International Organization for Standardization

IAF

IAF — International Accreditation Forum

| Accreditation Body **JAB** | Accreditation Body **UKAS** | Accreditation Body **CNAS** | Accreditation Body **ANAB** | Accreditation Body **JAS-ANZ** |

The International Register of Certificated Auditors **IRCA**

Personnel Certification Body **CCAA**

Personnel Certification Body **HKICA** 🅒 HKICA

Certified ISO Auditors

Certified ISO Auditors

Certified ISO Auditors

Project Objective(s)

- Upgrade the existing auditor management system of HKICA for system certification auditors in compliance with ISO/IEC 17024 international status.

- Develop a computer based Membership Management System for auditor certification/registration and a source for the testing and certification industry to select registered auditors

- Promote the certification scheme of the HKICA to local and overseas certification personnel and certification bodies

- Approve training organizations for providing courses complying requirements of certification criteria

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The International Register of Certificated Auditors (IRCA) is the worlds original and largest international auditor certification body

Cart

HKICA

| Home | Auditor certification | Auditor training | Organisations | **Find an auditor** | Resources | Abo... |

Find an auditor

Find an auditor

Find an auditor

Our on-line register contains the scheme, grade, industry sector and contact details of all IRCA certified auditors.

Search for an auditor using any of the fields below:

Scheme	QMS 2008
Grade	Lead Auditor
Country	Hong Kong
Last name	
First name	
Certification number	
Industry sector	(Any)
22003 food safety categories	(Any)

Find

1 2 3 4 5 6 7 8 9 10 ...   Page 1 of 12, items 1 to 10 of 118.

show all 118

Fullname	City	Country	Certification No
Mr Kar Yue Lin		Hong Kong	01180549
Mr Hanson Wai Chi Lok, ACQI	Kowloon	Hong Kong	01180906
Mr Kai Sang Chan	Kowloon City	Hong Kong	01180976
Mr Siu Wang, Andy Tsoi	Kowloon	Hong Kong	01180995
Mr Chi Wah Vincent Chan	Tuen Mun	Hong Kong	01181025
Mr Man Kin Lee	Hong Kong	Hong Kong	01181163
Ms Pik Kwan Phoebe Wong		Hong Kong	01181372
Mr Ng Kin Ping		Hong Kong	01181561
Mr Ronald Tse Cheuk-Kuen	Shatin	Hong Kong	01181606
Mr Leon Yong Liu		Hong Kong	01181977

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Auditor...

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International Register of Certificated Auditors

IRCA

16 July 2005

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Auditor certification
- Benefits of certification
- Auditor grades
- How to apply
- Fees & payment
- Managing your certification
- Continuing Professional Development (CPD)
- Find an auditor
- FAQ's

Auditor training

Employers of auditors

Certification programs

Find an auditor

Query Details: Country: 'Hong Kong' Program / Grade: 'Selected'

Tommy Yiu Lo
Certification number: A011954
Register address Building & Construction Dept, Hong Kong

Hei Lam Choi
Certification number: 01181990
Register address ___F, Sun Ying Mansion, Hong Kong

Pui Sze Wong
Certification number: 01183110
Register address Crystal Knitters Ltd, Kwun Tong, Kowloon

Pui Ching Chow
Certification number: 01183570
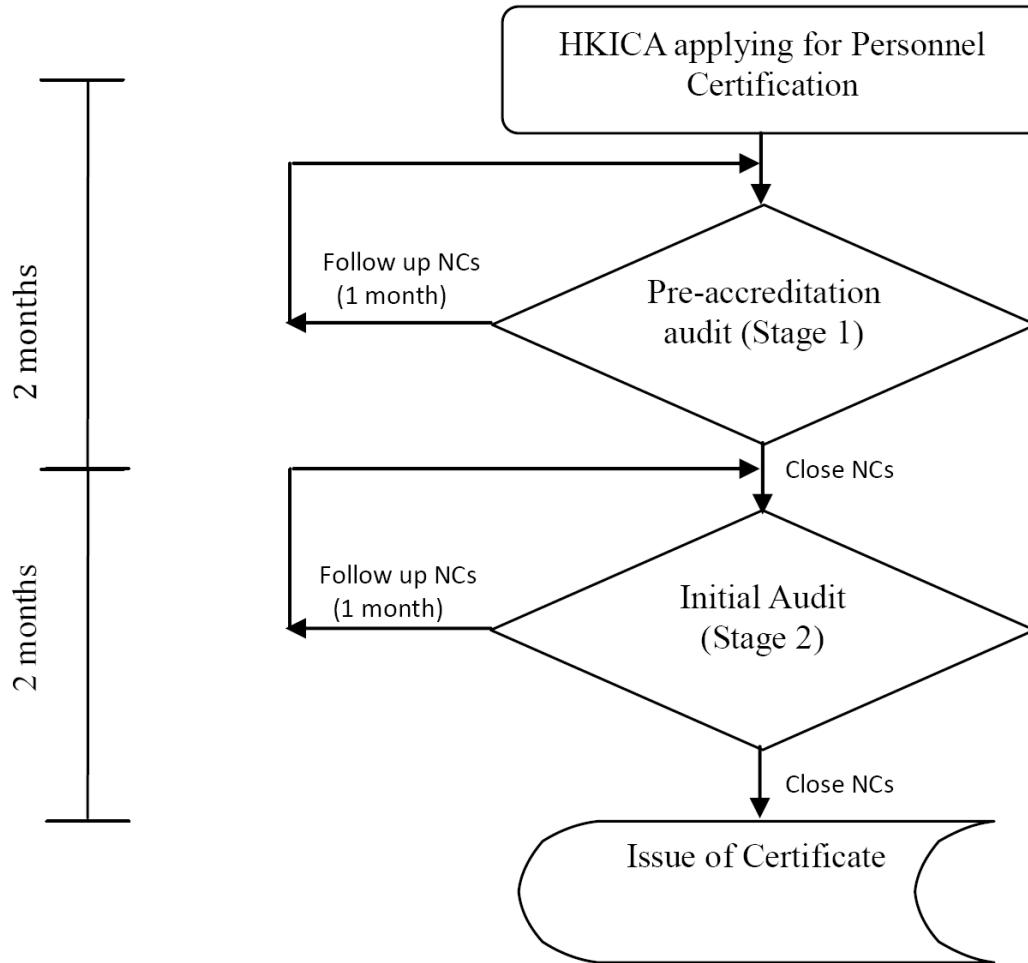**Register address** Ove Arup & Partner Hong Kong Ltd, Kowloon Tong

Wai-Leung Shum
Certification number: 01185648
Register address ___/F, Block 5, Metro City Phase 1

Zi Shaw Xu
Certification number: 01185499
Register address Room ___ Garden Minya, Fushan City

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Purpose and benefits of the project

➢ A certification body being accredited is crucial to ensure professionalism of QMS certified auditors and quality of subsequent auditing.

➢ HK demonstrating our commitment towards quality;

➢ Certified auditors will gain equivalent international status - a benchmark for the expertise of existing certification personnel and upgrades their professional status.

➢ Promoting Hong Kong as QMS personnel certification centre for SE Asia auditing professional.

➢ Securing a steady supply of manpower to the testing and certification industry

➢ To encourage young professionals to choose certification as their career;

➢ Encouraging the contractors of the building industry to build up ISO9000 system; [such as contractors under the MBIS]

Accreditation processes by the China National Accreditation Service (CNAS)

HKICA applying for Personnel Certification

Follow up NCs (1 month)

Pre-accreditation audit (Stage 1)

2 months

Close NCs

Follow up NCs (1 month)

Initial Audit (Stage 2)

2 months

Close NCs

Issue of Certificate

Accreditation Process

For Testing and Certification Personnel
- a very good standard ?
- independent party to provide services ?

ISO/IEC 17024: 2012

Conformity assessment – General requirements for bodies operating certification of persons

This presentation has been developed by the Convenor of ISO CASCO WG 30.

Purpose of ISO/IEC 17024

Standard for Certification of Persons

Official Title – General requirements for bodies operating certification of persons

Introduction – ". . . Has been developed with the objective of achieving and promoting a globally accepted benchmark for organizations operating certification of persons"

Introduction – ". . .This international standard can serve as the basis for the recognition of the certification bodies for persons and the certification schemes under which persons are certified, in order to facilitate their acceptance at the national and international levels."

Major Changes in the New Revision

Such as:

Change: Refer to the *"Certification of Persons"* instead of "Personnel Certification" and *"Certification Body for Persons (CBP)"* instead of *"*Personnel Certification Body (PCB)".

Reason: *"Personnel"* is defined and translated as employee so Personnel Certification and Personnel Certification body were interpreted as certification of one's own employees. This is not correct. New term *Certification of Persons* and *Certification Body for Persons* is so everybody will understand that this is certification of people (not employees).

Professional

ISO

Major Changes in the New Revision

Change: Added a more detailed section for Management of Impartiality (4.3). Impartiality may be achieved through the use of an Impartiality Committee or through other methods.

Reason: Impartiality and objectivity are the cornerstones for the certification of persons. If the process for verifying the competence of persons and certifying the competence of persons is not impartial and objective then there is no value to the certification of persons.

Competence of Auditor – Impartial, Objective

ISO

Major Changes in the New Revision

-General Personnel Requirements (6.1) Clauses pertaining to competence, training and signing of conflict of interest and confidentiality agreements added.

-Requirements for Examiners (6.2.2) Clauses pertaining to competence, impartiality, and declaration of conflicts of interest added.

-Requirements for other personnel involved in the assessment (6.2.3) (new section added) Added requirements for invigilators and examination administrators.

-Outsourcing (6.3) Includes contracted and subcontracted services. Note that Personnel definition (3.12) includes individuals internal or external who carry out activities for the certification body.

Reason: The competence of personnel is important to ensure that certification activities are carried out correctly and impartially.

Professional – Impartiality and Ethics

ISO

Major Changes in the New Revision

Change: Added a new section with more information about the Structure of the Certification Body in Relation to Training (5.2).

Reason: Training is a threat to impartiality (5.2.3). Therefore the Certification Body for Persons must demonstrate the independence of the certification activities from training activities to ensure the confidentiality, information security and impartiality of the certification activities are not compromised (5.2.3.b).

A trainer may not serve as an examiner of a specific candidate they have trained for a period of 2 years (5.2.3.e) unless the CB can demonstrate how it does not compromise impartiality.

Certification Vs Training – Impartiality

ISO

Beneficiaries

SME (Existing SME, RMWCSA and others)
In Hong Kong, SME companies certified to ISO9000, ISO14000, ISO14000 etc. covering each sectors of industries. For construction industry only, we have Minor Works Contractors is one of the key players for building maintenance work. They have over 1600 company members need quality system.

Certification Bodies
CBs provide an impartial and independent 3rd party assessment . Certification Bodies are easier to recruit auditor and trainee for healthy development of Testing and Certification Industry.

Auditor/Lead Auditor of Certification Bodies can transfer their registration from UK IRCA to HKICA at a lower fee.

Testing laboratories
Laboratory to ISO17025 also fulfil ISO9001 requirement for Quality management system. The training need are based on ISO9001.

Reflections

- Who lead/maintain quality system of an organization?

- What organizations need QMS ?

- Audit is procedural checking?

- What knowledge ?

Reflections

Organization had risk management framework (Engineering focus risk based audit)

Risk owners would be in different position and activities:

- Risk in construction projects included "Political", "Financial", "Design", "Construction", "Environmental", "Legal/Contractual", "Physical", "Economical", "Technical" and "Operational".

Audit plan for companies' risk has to consider impacts on:

- "Brand/Reputation", "Customers", "Profit", "Product Safety", "People Safety", "Business Continuity", "Product/Service Process", "Cost of Poor Quality" and "Business Strategy".

Audit INVOLVE professional knowledge, such as Engineer (Technical/operational risk based audit)

Auditor with professional knowledge/
Professionals with audit knowledge

"Risk Based Auditing – Engineering and Construction"
by Richard Green (Head of IRCA Technical Services)

Conclusions

Testing and Certification Personnel
- a very good standard ?
- independent party to provide services ?
- Competence, Professionalism, Continuous Development

Auditor is a Professional
- Competence of Auditor – Impartial, Objective
- Professional – Impartiality and Ethics
- Certification vs Training – Impartiality

Auditor equipped with professional knowledge/Professionals with audit knowledge

QMS Certification Scheme of Persons

THANK YOU

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