



Hong Kong Institution of Certified Auditors

香港專業審核師學會

HKICA 01E

**Regulations for
Certification Schemes of Management System Auditors**

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

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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 Schemes for Management System Auditors by the following means:

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

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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 professionals. 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 ISO 19011:2018 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 and CNAS-CC03:2014 and IPC-PL-11-006. The certification schemes are set up according to HKICA ISO/IEC 17024 criteria document;
 - (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.

3. Background

3.1. Determined to avert the lack of recognition of professional status of auditor locally, Certification Schemes for auditors of different Management Systems have been established by HKICA since March 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.



1 DEFINITIONS AND ABBREVIATIONS

- 1.1 **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.
- 1.2 **Certification scheme competence:** and other requirements related to specific occupational or skilled categories of persons.
- 1.3 **Certification requirements:** set of specified requirements, including requirements of the scheme to be fulfilled in order to establish or maintain certification.
- 1.4 **Scheme owner:** organization responsible for developing and maintaining a **certification scheme**.
- 1.5 **Certificate:** document issued by a certification body under the provisions of this International Standard, indicating that the named person has fulfilled the **certification requirements**.
- 1.6 **Competence:** ability to apply knowledge and skills to achieve intended results.
- 1.7 **Qualification:** demonstrated education, training and work experience, where applicable.
- 1.8 **Assessment:** process that evaluates a person's fulfilment of the requirements of the **certification scheme**.
- 1.9 **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**.
- 1.10 **Examiner:** person competent to conduct and score an **examination**, where the examination requires professional judgment.
- 1.11 **Invigilator:** person authorized by the certification body who administers or supervises an **examination**, but does not evaluate the **competence** of the **candidate**.



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- 1.12 Personnel:** individuals, internal or external, of the certification body carrying out activities for the certification body.
- 1.13 Applicant:** person who has submitted an application to be admitted into the **certification process**.
- 1.14 Candidate applicant:** who has fulfilled specified prerequisites and has been admitted to the **certification process**.
- 1.15 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.)
- 1.16 Fairness:** equal opportunity for success provided to each **candidate** in the **certification process**.
- 1.17 Validity:** evidence that the **assessment** measures what it is intended to measure, as defined by the **certification scheme**.
- 1.18 Reliability:** indicator of the extent to which **examination** scores are consistent across different examination times and locations, different examination forms and different **examiners**.
- 1.19 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.
- 1.20 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.
- 1.21 Interested party:** individual, group or organization affected by the performance of a certified person or the certification body.
- 1.22 Surveillance:** periodic monitoring, during the periods of certification, of a certified person's performance to ensure continued compliance with the certification scheme.



1.23 Continuing Professional Development Units (CPDU):

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.

1.24 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.

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

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

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

Note 1: One auditor (excluding auditors-in-training or assistant auditor) of the audit team is appointed as the audit team leader.

Note 2: The audit team may include auditors-in-training or assistant auditor.

1.28 IPC MS Auditor: person with the demonstrated personal attributes and competence to initiate, plan, execute and report first and second party audits within the IPC Certification Scheme “IPC Management System Auditors” in accordance with ISO 19011.



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- 1.29 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 the IPC Certification Scheme “IPC Management System Auditors” 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.
- 1.30 Complete audit:** the entire audit process from preparation to reporting in accordance with ISO 19011 or ISO/IEC 17021
- 1.31 CNAS:** China National Accreditation Service for Conformity Assessment
- 1.32 CCAA:** China Certification and Accreditation Association
- 1.33 HKAS:** Hong Kong Accreditation Services
- 1.34 HKICA :** Hong Kong Institute of Certified Auditors
- 1.35 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.



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: 2018 “Guidelines for auditing management systems”
- 2.3 ISO 9001: 2015 “Quality management systems – Requirements”
- 2.4 ISO 14001: 2015 “Environmental Management Systems - Requirements With Guidance For Use”
- 2.5 ISO 45001: 2018 “Occupational health and safety management systems – Requirements with guidance for use”
- 2.6 ISO 15189: 2012 “Medical Laboratories - Requirements For Quality And Competence”
- 2.7 ISO 22000: 2018 “Food safety management systems - Requirements for any organization in the food chain”
- 2.8 ISO/IEC 17025: 2017 “General requirements for the competence of testing and calibration laboratories”
- 2.9 BS EN ISO/IEC 17024:2012 “Conformity assessment — General requirements for bodies operating certification of persons”
- 2.10 ISO/IEC 17021-1:2015 “Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements”
- 2.11 CNAS-CC03:2014 “General requirements for bodies operating certification of persons (ISO/IEC 17-24:2012, IDT)”
- 2.12 IPC_PL_11_006 “Certification Scheme for Management System Auditors”
- 2.13 IPC-PL-14-05 “Common requirements for IPC certification schemes”



3 AUTHORITY AND OPERATION OF CERTIFICATION BODY

- 3.1 The schemes (referred to Section 4.2) developed under HKICA (hereafter named as Certification Body) are supported by the Governing Council, which is responsible for the granting, reviewing and revising the person certification titles and requirements in accordance to the prevailing demand of the auditing industries served by the scheme. The Governing Council, in turn, may appoint specialist to form Working Committees and Task Force Groups as it deems necessary to oversee specific parts of the scheme.
- 3.2 The Governing Council (GC) shall comprise of representatives of relevant industry relating to auditing and certification, professionals and academia with extensive experience in auditing/personnel certification and other interests.
- 3.3 Examination Board is responsible for matters in relation to examination including selection of examination venue and examiners for interview, witness evaluation, and preparation of examination questions and papers. The Board is also responsible for managing impartiality of the examination activities.
- 3.4 Appeal Board is formed to handle appeals against decision made or action taken by the Governing Council. Such decisions include examination and professional assessment results, suspension or termination.
- 3.5 The constitution and terms of reference of the Governing Council, Examination Board and the Appeal Board are documented in Section 4 of this Manual.
- 3.6 The Operation Manager of the Secretariat is responsible for the daily operation of the scheme with duties ranging from responding to any queries, processing the applications, carrying out preliminary screening of the applications, informing examiners and arranging examination venue and schedules.
- 3.7 The certification body shall ensure that information obtained during the certification process, or from sources other than the applicant, candidate applicant or certified person, is not disclosed to an unauthorized party without the written consent of the individual (applicant, candidate or certified person), except where the law requires such information to be disclosed.



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- 3.8 When the certification body is required by law to release confidential information, the person concerned shall, unless prohibited by law, be notified as to what information will be provided.

- 3.9 In case the certification body subcontracts any of its certification activities, such activities shall not be carried out by its approved training providers or the subcontractors thereof.



4 DUTY OF GOVERNING COUNCIL AND BOARDS

4.1 The Governing Council shall comprise of nominees from HKICA, government agencies, industrial associations and institutions and ultimate customers. Number of nominees from each sector should more or less equal without predominant voices from any specific party.

4.2 It is the role of Members of Governing Council:-

(a) to develop and formulate procedures on general policy matters relating to certification. Such policy matters include:-

- i) the operation, management and development of the following certification schemes
 - a) “Certification Scheme for Quality Management Auditor” CSQMSA;
 - b) “Certification Scheme for Environmental Management Auditor” CSEMSA;
 - c) “Certification Scheme for Occupational Health and Safety Management Auditor” CSOH&SMSA;
 - d) “Certification Scheme for Testing and Calibration Laboratory Management Auditor” CST&CLMSA;
 - e) “Certification Scheme for Medical Laboratory Management Auditor” CSMLMSA;
 - f) “Certification Scheme for Food Safety Management Auditor” CSFSMSA
- ii) certification criteria, including auditing and non-auditing requirements and conditions, which applicant or certified auditing personnel shall meet;
- iii) charges and fees for the services provided by the Certification Body;
- iv) remuneration for examiners;
- v) relationships with other personnel certification scheme for auditing; and
- vi) procedure for handling complaints on the certification schemes.

(b) to review and appraise examination and witness evaluation reports and to make decision on the following:-

- i) whether certification should be granted to an auditing personnel;
- ii) the level and scope of certification of an auditing personnel;
- iii) the terms of certification; and
- iv) the re-certification interval for an auditing person.

- (c) to establish committees to undertake specific tasks and to define goal and terms of reference of such committees. Where a committee is established for the purpose of investigating problems in relation to an activity for certification, a chairman of the working committee will be appointed by the Chair of the Governing Council. The findings and recommendations of the working committees shall be reported to Governing Council.
- (d) to identify and to guide the Operation Manager on the establishment and maintenance of a panel of examiners for the certification scheme, including the following:-
- i) to establish the qualification and experience criteria for the selection of examiners;
 - ii) to set the honorarium of examiners;
 - iii) to establish the monitoring and re-appointment procedures; and
 - iv) to recommend to the Chair any training and instructional needs for examiners.
- (e) to devise criteria for evaluation and approval of training providers and trainers and evaluate the course contents in fulfilling the certification criteria, including the following:-
- i) procedures for approval of training providers;
 - ii) administration and facilities requirements of training providers;
 - iii) approval fees of training providers and trainers.
- (f) to provide guidance on
- i) development of any other technical or non-technical matters in connection with certification in the furtherance of good practice;
 - ii) marketing and promotion of the scheme;
 - iii) liaison with government agencies for acceptance of the scheme and recognition of certified auditing personnel;
 - iv) alignment of the competency requirements with Qualification Framework;
 - v) expansion of the scheme to overseas auditors and means of operation;
 - vi) organization of seminars on areas of interest and new development; and
 - vii) support of educational initiatives related to the certification scheme.



- (g) Take up the duties of Impartiality Committee and responsible for review of:
- i) Records of review of impartiality of the Examination and Qualification Board;
 - ii) Potential effects on impartiality arising from income including donation, training organization, training course; and
 - iii) Current policy and procedures for ensuring impartiality.

4.3 Members of the Examination Board are responsible for

- (a) preparation of examination papers
- i) review of examination questions;
 - ii) preparation of examination paper; and
 - iii) validating the random number generation system.
- (b) identification and selection of personnel involved including
- i) examiners for setting and marking written examination;
 - ii) witness evaluators for conducting the skill examination; and
 - iii) invigilators for monitoring the examination process.
- (c) ensuring the examination process is impartial and fair
- i) review of impartiality between examiner and applicants.
- (d) review of marking of written papers, interview and witness evaluation reports;
- (e) develop and update the examination syllabus to cater for development of auditing industry;
- (f) act as the leader of the evaluation team for approval of training organization;
- (g) develop the content of approved training courses; and
- (h) monitor and evaluate the continuing performance of examiners.

4.4 Appeal Boards

4.4.1 Members of the Appeal Board

- (a) do not involve in decision of the related certification activities. One member of the Board should preferably have technical expertise relevant to the appeal under consideration.
- (b) No person having a direct interest in the case of appeal in hand shall serve on the



Board.

4.4.2 Members of the Appeal Board are responsible:-

- (a) to investigate the appeal lodged by candidates against the decision of the Certification Body;
- (b) to review and check the examination papers and witness evaluation reports;
- (c) to conduct interview with the appellants, examiners, or any other persons relevant to the appeal cases;
- (d) to make decision on the appeals and inform the Governing Council of the decision; and
- (e) to suggest correction and corrective actions in improving the system in order to prevent recurrence of valid appeal of similar nature.

4.5 Members of the Operation Board are responsible for:-

- (a) decision making of the daily operation of the Scheme;
- (b) monitoring of the work of the Secretariat;
- (c) ensuring the work of the Secretariat complying with the requirements of the various management system schemes;
- (d) reflecting quality problems to the Quality Manager;
- (e) arranging manpower within the Secretariat;
- (f) monitoring work of the Information and Technology working team.

4.6 Members of the Qualification Board are responsible for:

- (a) provision of advise on qualification for certification of different levels of auditors;
- (b) review of academic qualification, working and professional working experience of applicants;
- (c) set up the equivalence of academic qualification, auditing experience of different countries;
- (d) set up the equivalence of certified auditors registered or certified by different certification bodies.
- (e) ensuring the certification process is impartial and fair
 - review of impartiality of decline cases regarding qualification of applicants.

4.7 The Secretariat shall provide full secretariat support and attend all meetings of the Governing Council and Boards



5 CERTIFICATION PROCESS

5.1 Initial application

- 5.1.1 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 to HKICA Secretariat. The application form is available for download from the HKICA website. Applicants can also submit their application following the on-line application system and upload the required documents and fee.
- 5.1.2 No applications can be confirmed until receipt of a correctly completed application form and the full fees. In the event of false statements being discovered, any certificate awarded will be revoked and declared null and void.
- 5.1.3 The Operation Manager reviews and evaluates the application for confirmation of acceptance at the requested level of certification and as far as possible accommodates any special needs of applicants, such as language and/or disabilities.
- 5.1.4 The applicant is confirmed of receipt of the application and requested of submission of any missing documents within 5 working days by e-mail or post.
- 5.1.5 The Operation Manager will summarize the qualification, working and professional working experience, auditing experience, etc. and submit to the Qualification Board for review.
- 5.1.6 The Operation Manager will arrange for the necessary assessment, either on-site or over the internet, including written, interview, witness or other objective means of evaluation. The assessment shall be conducted in accordance with the documented Certification Criteria.
- 5.1.7 The Operation Manager will submit the assessment report to Examination Board for review.
- 5.1.8 Applicants are notified of results of assessment within 30 calendar days after examination or interview by e-mail or post.



- 5.1.9 Examination and interview results are valid for three years after which applicant should re-take respective examination paper in order to fulfill the certification requirements.
- 5.1.10 The Operation Manager shall submit the evaluation report of the Qualification Board, and/or assessment results to at least 3 members of the Governing Council for review. Members shall not be involved in the examination and/or evaluation processes and shall be free from conflict of interest.
- 5.1.11 The Governing Council will grant certification for an applicant only when:
- (a) the applicant has applied certification for such activity;
 - (b) certification for such activity is within the scope of certification service provided by the Certification Body;
 - (c) applicant attains satisfactory results in examination based on recommendations of the examination board;
 - (d) the applicant is found to be competent as assessed based on the certification criteria, and
 - (e) upon granting of the certification, the applicant agrees to comply with Regulations and any other conditions as specified by the Certification Body.
- 5.1.12 Meeting of the Governing Council will be held if members cannot reach the same certification decision.
- 5.1.13 If certification is granted to an applicant, the Operation Manager will send a notification letter to the applicant informing him/her of the terms of certification. Applicant shall sign an agreement before the certificate is issued to the certified applicant.
- 5.1.14 All certified personnel will be registered in databases and presented as public information on the website.
- 5.1.15 Applicant may seek to upgrade level of certification. The same procedure as initial application shall be followed.



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5.2 Surveillance and Re-certification

- 5.2.1 It is the policy of the Certification Body to set annual verification criteria for certified auditor. The criteria is taken in the form of continuing professional development, audit in respective certified management system, witness evaluation, compliance with certification regulation and resolution of complaint against performance of the audit the auditor carried out.
- 5.2.2 Annual verification criteria: internal auditor, assistant auditor and lead auditor shall complete at least 10 continuing professional development units (CPDUs), of which 5 should be approved by HKICA (1 contact hour is equivalent to 1 CPDU), auditor shall complete at least 20 continuing professional development units (CPDUs), of which 10 should be approved by HKICA (1 contact hour is equivalent to 1 CPDU).
- 5.2.3 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 record and keep their annual verification record (CPD). These records will be checked during the re-certification process.
- 5.2.4 If the certified personnel failed to provide the annual verification record (CPD) in the re-certification process, HKICA should follow Section 7 of this document to suspend or terminate their certification status.
- 5.2.5 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 or post.
- 5.2.6 Re-certification audit requirements:
- a) Certified Auditor and Lead Auditor shall complete at least one management system audit annually and 4 complete management system audits or equivalent partial audits related to his/her HKICA certification. 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-sitting 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 and Assistant Auditor shall complete at least two management system audits or equivalent audits related to his/her HKICA certification per each re-certification cycle. If they cannot fulfill the audit requirements, they shall obtain satisfactory results the assessment as specified in clause 5.5.1, 5.5.2 and 5.5.4 respectively in by either attending approved training course and obtain certificate of achievement or obtaining a pass in re-sitting the examination as specified to demonstrate their continuing compliance with the certification criteria.
- c) Certified Lead Auditor NOT entered through the professional route 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.
- d) Certified Lead Auditor entered through the professional route do not need to provide audit log if he will not normally conduct any audit

5.2.7 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.) or a competence evaluation report provided by the organization in which the applicant is under employ.

iii) results of interview assessment conducted by HKICA.

5.2.8 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.

5.2.9 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 situations specified in Section 5.2.8.

5.2.10 The candidate concerned shall submit payment and provide up-to-date information, consisting of

- (a) change of contact information, if any;
- (b) records of monitoring as stated in Clause 5.3.7c above;
- (c) records of Continuing Professional Development for the past three years (HKICA-F03E "Record Log of Professional Development Units"); and
- (d) audit logs (HKICA-F02E "Audit Log"), if appropriate.

5.2.11 The Operation Manager will review the records of CPDU, audit log and monitoring records to determine whether the candidate fulfils the re-certification criteria of his level.

5.2.12 The Operation Manager should arrange interview assessment, if necessary to monitor the audit activities and performance of a certified candidate if he cannot provide monitoring records.

5.2.13 The same procedures as initial certification shall be followed for decision of re-certification.



6 OBLIGATION OF CERTIFIED PERSONS

6.1 Certified personnel shall at all times maintain the reputation of the certification body and maintain fairness and integrity to all people relevant to their work. According to this principle, certified personnel shall sign an agreement and commit to comply with the following Code of Conduct: -

- (e) to act professionally and ethically;
- (f) to strive to increase the competence and prestige of the auditing profession;
- (g) to assist those in their employ or under their supervision in developing management, professional and auditing skills;
- (h) to take due professional care and not undertake audits they are not competent to perform;
- (i) not to represent conflicting or competing interests and to disclose to any client or employer any relationships that may influence their judgment;
- (j) not to discuss or disclose any information relating to an audit unless required by law or authorized in writing by the audited and the auditing organizations involved;
- (k) not to accept any inducement, commission, gift or any other benefit from audited organizations, their employees or any interested party or knowingly allow colleagues to do so;
- (l) to make fair presentations of audit findings based on verifiable audit evidence and not intentionally communicate false or misleading information that may compromise the integrity of any audit or the auditor certification process;
- (m) not act in any way that would prejudice the reputation of the personnel certification body or the auditor certification process and to co-operate fully with an inquiry in the event of any alleged breach of this code.; and
- (n) not to provide consultation to the auditee.



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6.2 Certified persons should

- (a) pay the fee and charge as determined by the Certification Body;
- (b) ensure that the information provided is accurate, verifiable and addresses all of the requirements for certification for the type, grade and scope of certification being sought;
- (c) resolve any complaints in relation with their audit performance;
- (d) continuously fulfill the certification criteria;
- (e) return any certificates issued by HKICA upon termination or withdrawal of certification;
- (f) not take the initiative to contact members of the Governing Council, Examination Board or examiners in relation to their certification/re-certification process; and
- (g) comply with the rules in use of certificate and HKICA's logo details of which are addressed in Section 9 of this Manual.
- (h) inform HKICA any matters that can affect the continuing compliance with the certification criteria within 2 weeks of the incident.



7 SUSPENSION AND TERMINATION

- 7.1 The Certification Body will impose suspension or termination to certified personnel who fails to comply with the obligation of certified auditing personnel as described in this Manual.
- 7.2 A certified auditing person may, 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. The certified auditing person shall specify the effective date of the voluntary suspension or termination in the written notice. If the effective date is not specified, the date of receipt of the written notice will be the effective date.
- 7.3 The Certification Body may suspend or terminate the certification for part or all of the certified activities of a person as defined in his/her certificate of certification.
- 7.4 The suspension or termination imposed by Certification Body shall be commenced on the date of the written notice issued by President of the Certification Body. The notice shall clearly state the actions required to re-state the suspension or the grounds of such termination.
- 7.5 Verbal or written warning will normally be given by the Certification Body when a certified auditing personnel:-
- (a) fails to abide by any of the obligations set out in Chapter 5 of this Manual;
 - (b) fails to resolve a complaint in relation to his performance in auditing;
 - (c) fails to comply with the certification criteria:
 - i) not paying annual fee; or
 - ii) no monitoring records; or
 - iii) no CPDUs records; or
 - iv) no audit log;-or
 - v) incompetent in carrying out any certified activities-



- (d) is, in the opinion of the Certification Body, involved in any impropriety, corrupt practice or other activities which is prejudicial to the good reputation of scheme.
 - (e) fails to reply to a request for information provided to him/her using the latest contact address known to the Certification Body within the period of time specified in the request.
- 7.6 A candidate who is in a state of suspension (whether or not the suspension is voluntary) and, if in the opinion of Certification Body, has failed to take adequate measures to rectify the situation, may have its certification terminated by the Certification Body. Such termination is normally made in respect of all certified activities.
- 7.7 If the actions could not be completed within one month from date of verbal or written warning, HKICA will inform the candidate to return the certificate as his certification status is suspended. Time frame for re-statement of the status will also be specified in the letter. HKICA will terminate his certification status if the candidate fails to take adequate measures to rectify the situation and cannot provide sufficient evidence within the stated period (normally half year).
- 7.8 Upon confirmation that that any certified personnel have involved in any impropriety, corrupt practice or criminal offences, HKICA will request the person to return the certificate and terminate his certification status by letter.
- 7.9 HKICA will upload the list of suspended and terminated auditor to the website for public information.
- 7.10 Related personnel, if disagree with the certification decision, can lodge an appeal.



8 APPEAL AND COMPLAINT

8.1 Complaint procedure

8.1.1 Complaint is an expression of dissatisfaction with the services provided by the Certification Body through formal notification which in the opinion of the Certification Body acting in good faith warrants further investigation.

8.1.2 Complaint can be criticism of:

- (a) personnel involved in the certification activities;
- (b) Certification Scheme procedure;
- (c) an examiner;
- (d) an approved training provider or trainer;
- (e) a Certification Scheme certificate holder.

8.1.3 Complaint should be raised formally in written form and signed. Anonymous complaint will not be handled.

8.1.4 The Operation Manager shall acknowledge in writing the receipt of the complaint via e-mail within 2 days on receipt of the complaint.

8.1.5 The Operation Manager should gather all necessary information from the parties concerned in order that the case can be fully assessed by internal investigation.

8.1.6 After review of all information, the Certification Body shall decide whether the case will put forward to the Appeal Board.

8.1.7 The Appeal Board shall take into consideration all of the materials submitted when reaching a decision. No person having a direct interest in the case of complaint in hand shall serve on the Board.

8.1.8 The Appeal Board can interview any person involved in the matter. _

8.1.9 Based on the outcome of the investigation, the Operation Manager shall provide the complainant with a formal response/explanation by e-mail or letter normally within



two months from receipt of the complaint notifying the investigation results and actions taken, if any.

8.1.10 The complaint is deemed to have been settled to the complainant's satisfaction if there are no further queries raised by the complainant after a period of 15 working days.

8.2 Appeal Procedure

8.2.1 An appeal is lodged by applicant, candidate or certified person against any decision made or action taken by the Certification Body.

8.2.2 A written request detailed in HKICA F04E "Appeal Form" setting out the grounds of the appeal shall be submitted to the Secretariat within one month after the decision or action has been made or taken.

8.2.3 The Secretariat acknowledges the receipt of the appeal by informing the appellant by e-mail or other means in written form within 5 working days after receipt of the payment of the required expenses. Appeal process is initiated.

8.2.4 The Secretariat should gather all necessary information from the parties concerned in order that the case can be fully assessed by the Appeal Board.

8.2.5 Appeal is handled by correspondence normally by e-mail with the appellant who should submit written representations, and attendance in person before the Board may be arranged only if special circumstances prevail (as judged by the Board).

8.2.6 The Board may interview any person involved in the matter, such as staff of the Secretariat, the examiner, the staff of organization the appellants belonged to. Records of investigation including details of interviews, checking or examination marks and consultation with experts should be maintained.

8.2.7 Where the Board cannot, for whatever reason, reach a decision, the Board may seek assistance and expert advice from other examiners and independent experts in relevant auditing/certification activities. Based on the additional information collected, decision shall be made by the Board.



- 8.2.8 Based on the decision made in the report, the Operation Manager, acting on behalf of the Certification Body, shall formally give a written reply normally by e-mail to the appellant concerning the results of the appeal. The decision will be final and conclusive. No further appeal is allowed except there is special permission from the Certification Body.
- 8.2.9 The Secretariat shall provide the appellant with a formal response/explanation by e-mail or letter within two months from receipt of the appeal.
- 8.2.10 Penalty or additional pre-requisite requirements shall not be imposed on the appellants for certification, re-certification, etc.

9 USE OF HKICA CERTIFICATE AND CERTIFICATION SYMBOL

9.1 Certified persons should:

- 9.1.1 abide by the regulations as set forth by HKICA and the Certification Scheme;
- 9.1.2 make claims regarding certification only in respect of the scope for which certification has been granted;
- 9.1.3 not use the Certificate in such a manner as to bring the certification scheme into disrepute, and refrain from making any misleading or unauthorised statement regarding the certification ;
- 9.1.4 discontinue all claims to certification upon termination or withdrawal of certification, and return any certificates issued by HKICA.
- 9.1.5 not use the certificates and the HKICA logo in a dishonest or fraudulent manner. ;
- 9.1.6 HKICA has the ownership of the issued certificates.
- 9.1.7 Certified persons are entitled to use the HKICA's logo and related certified level on their name card, abbreviations for different certified levels:
- (i) Internal Auditor: CAudit(I);
 - (j) Assistant Auditor: CAudit(As);
 - (k) Auditor: CAudit(A);
 - (l) Lead Auditor: CAudit(L)



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Appendix 1

Use and format of HKICA certification symbol :

- 1 Certified personnel cannot self-make the HKICA certification symbol , all logo and mark should be provided by HKICA when certified.
- 2 The HKICA certification symbol consists of three basic parts:
 - 2.1 HKICA logo
 - 2.2 CSQMSA/CSEMSA/CSOH&SMSA/CST&CLMSA/CSMLMSA/CSFSMSA mark
 - 2.3 Certified level
- 3 The HKICA logo should be used as an entity. Certified personnel cannot use HKICA and scheme separately.
- 4 The formats of the HKICA certification symbols, including its appearance, aspect ratio, colour, shade, font style, relative sizes and positions of its components and other features shall be as specified in this Regulation.
- 5 The symbol given below is based on a white colour background and when printing against a background of any other colour.
- 6 Precaution shall be taken to ensure that the colours of the symbols are not affected.
- 7 Samples of the HKICA certification symbol (eg for CSQMSA):



- 8 Color code of the symbol :
 - 8.1 C : 286C
 - 8.2 A : 185C
 - 8.3 HKICA: black
 - 8.4 CSQMSA/CSEMSA/CSOH&SMSA/CST&CLMSA/CSMLMSA/CSFSMSA and certified level : 185C
- 9 The certification symbols may be enlarged or reduced in size. Irrespective of its size, the features of the certification symbol shall be clearly discernible.
- 10 In addition to the colour specified above, the certification symbols may be displayed in a black and white. Samples are given below (eg for CSQMSA):



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HKICA
CSQMSA Lead Auditor



HKICA
CSQMSA Auditor



HKICA
CSQMSA Assistant Auditor



HKICA
CSQMSA Internal Auditor