



**Hong Kong Institution of Certified Auditors**

**香港專業審核師學會**

**HKICA02E**

**Approval of Training Organizations  
and Training Courses for  
Certification Scheme of Quality Management 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 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

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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 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 and CNAS-CC03:2014;
  - (d) to deliver auditing related seminars and workshops which are of common interests to local auditing profession;



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- (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, a Certification Scheme of Quality Management System Auditor (CSQMSA) was established by HKICA in April 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.

The initial establishment and operation of the Scheme CSQMSA is sponsored by SME Development Fund (SDF) of the Trade and Industry Department.



## 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 judgement.



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- 1.11 **Invigilator:** person authorized by the certification body who administers or supervises an **examination**, but does not evaluate the **competence** of the **candidate**.
- 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)**

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.

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.



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Note1: 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 Complete audit:** the entire audit process from preparation to reporting in accordance with ISO 19011 or ISO/IEC 17021

**1.29 CNAS:** China National Accreditation Service for Conformity Assessment

**1.30 CCAA:** China Certification and Accreditation Association

**1.31 HKAS:** Hong Kong Accreditation Services

**1.32 HKICA :** Hong Kong Institute of Certified Auditors

**1.33 IRCA:** International Register of Certificated Auditors

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.





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## **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: 2011 “Guidelines for auditing management systems”
- 2.3 ISO 9001:2008 “Quality Management System - Requirements”
- 2.4 BS EN ISO/IEC 17024:2012 “Conformity assessment — General requirements for bodies operating certification of persons”
- 2.5 ISO/IEC 17021:2011 “Conformity assessment — General requirements for bodies providing audit and certification of management systems”
- 2.6 CNAS-CC03:2014 “General requirements for bodies operating certification of persons (ISO/IEC 17-24:2012, IDT)”



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### **3 AUTHORITY AND OPERATION OF CERTIFICATION BODY**

- 3.1 The scheme developed under HKICA (hereafter named as Certification Body) is 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 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 term 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.



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- 3.7 The certification body shall ensure that information obtained during the certification process, or from sources other than the applicant, candidate 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.
- 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.



## 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 certification scheme “Certification Scheme for Quality Management Auditor” CSQMSA;
- 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 CSQMSA.

(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 term of reference of such committees. Where a committee is established for the purpose of 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 evaluator for conducting the skill examination; and
  - iii) invigilator 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 quality management system;
- (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 APPROVAL OF TRAINING ORGANIZATIONS

- 5.1 Assessment shall comprise a review of the application documentation and an onsite audit of Training Establishments.
- 5.2 Approval of each Training Organization shall be granted for a specific scope. Where a Training Organization has more than one Training Establishment, assessment shall be made and approval granted on an Establishment by Establishment basis. This may also require separate assessment of some aspects of the Training Organization where this is remote from the Establishment(s).
- 5.3 Application for approval
- 5.3.1 Training Organizations wishing to gain approval shall submit to the Certification Body an application form HKICA-F06 “Application as Approved Training Organization” which shall be accompanied by the following documentation;
- (a) general description of the functions, organization and management of the Training Organization, including Training Establishments to be covered;
  - (b) management system in controlling the administration of certified training courses such as
    - document control;
    - advertising;
    - training venue facilities;
    - assessing student performance and managing examinations;
    - ensuring security and confidentiality; .and
    - mechanism for continuously improving the training process.
  - (c) List of qualifying trainers and criteria for appointment; and
  - (d) the fees as stipulated in HKICA04 “Schedule of Fees for Approval of Training Organization and Courses”.





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#### 5.4 Documentation review

5.4.1 The application will be reviewed by one member of the Examination Board who shall also be the Team Leader. The Operation Manager will identify suitable evaluator from the pool of examiners to assist the review, if deemed necessary. The selection and number of evaluators is based on scope of approval. In need of further evidence, the Team Leader will inform the Operation Manager who is responsible for communication with the Training Organizations for clarification. The application will not be processed until all required documents are submitted.

5.4.2 The review shall be checks of compliance of the submitted documents with the approval criteria as given in Appendix 1.

5.4.3 The document evaluator shall prepare a summary report addressing the deficiencies and further evidence or actions to be carried out within 1 month from receipt of the application.

#### 5.5 Audit visit(s)

5.5.1 The arrangements for the audit visit will be made by the Operation Manager in consultation with the Team Leader, evaluator(s) and the training organization after the organization rectifies the findings as addressed in the document review audit report.

5.5.2 The Team Leader, in consultation with any other Team members, will review the application and prepare for the visit before the audit commences. The audit includes evaluation of

- (a) suitability of training venues and facilities;
- (b) management system of the training organization; and
- (c) mechanisms in ensuring security and maintenance of assessment papers, records and information of trainees.

5.5.3 At the end of the audit they will agree on the terms of the report and its conclusions. Any observations shall be documented and disclosed to the applicant on conclusion of the audit, and a time scale for their resolution agreed.



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5.5.4 The applicant shall make all relevant facilities available to the Audit Team, and provide access to a senior manager responsible for training when required.

#### 5.6 Reporting

5.6.1 The Team Leader, in consultation with any other Team members, shall produce a report for approval by the Governing Council within three weeks. Wherever possible, reports are to be submitted to the applicant within a month after the audit.

#### 5.7 Approval

5.7.1 After all audit findings have been satisfactorily closed out, the Governing Council will review the whole application and make final approval decision.

5.7.2 The approved training establishment/organizations and training courses will be posted on the Scheme website <http://www.hkica.org>.

5.7.3 The applicant shall have right of appeal to the Governing Council if dissatisfied. The decision of the Appeal Board shall be final.

#### 5.8 Procedures for Approval of Training Course

5.8.1 The training organization shall submit an application form HKICA-F07 “Application as Approved Training Course” together with stipulated fees and documentation in compliance with the requirements as stipulated in Appendix 1.

#### 5.8.2 Assessment and reporting

The same document review and on-site witness evaluation procedures as Clause 4.3 to 4.6 should be followed. On-site evaluation should include:

- (c) arrangement of course delivery, exercise and case study;
- (d) the professionalism of the trainer and performance in conducting the training;
- (e) methods and extent of assessment;

Facilities of training organization and mechanisms in ensuring security and maintenance of assessment papers, records and information of trainees are covered in approval of training organization.



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5.8.3 In the event that the training course does not conform to the requirements of the relevant HKICA training course criteria and major changes are required after the initial witness assessment, a further full or partial assessment should be undertaken.

5.8.4 On-site evaluation can be waived for training organizations being approved by HKICA、IRCA、CCAA、RABQSA International or other Certification Body accredited for ISO/IEC 17024.

5.8.5 Approval

Approval procedures should be followed that stipulated in Clause 4.7.

5.9 Re-approval of Training Organization

5.9.1 The Approved Training Organization will provide the following information to the Governing Council on an annual basis:

- (a) summary of approved training courses organized;
- (b) report of evaluation of performance of these courses;
- (c) a current list of trainers for each approved course;
- (d) a current list of training establishments; and
- (e) an updated management system manual.

5.9.2 Surveillance audit

HKICA will normally conduct a surveillance audit to the training organization and course once during the re-approval period. The audit is normally a combination of audit on management system of the organization and witness evaluation of course. HKICA reserves the right to increase or decrease frequency of surveillance visit to Training organization and course. Selected examiner shall prepare a surveillance report addressing the findings. The report will be sent to the training organization within 2 weeks after the audit.

The Governing Council will review the submitted report and actions taken by the training organization; and decide re-approval of the Training Organizations and related training courses once every three years.



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#### 5.10 Re-approval of Training Course

Monitoring and evaluation of training courses is achieved by annual reports provided by the training organization. All training courses should be conducted at approved training establishments.

## 6 OBLIGATION OF APPROVED TRAINING ORGANIZATION

### 6.1 Approved Training Organizations are required to sign a contract with the Certification Body defining

- (a) title of the training courses;
- (b) estimated frequency of provision of the courses;
- (c) duration of the courses;
- (d) course fees; and
- (e) an agreement to abide by the regulations as stipulated in this Manual HKICA02.

### 6.2 Approved Training Organizations should also

- (a) pay the fee and evaluation charge as determined by the Certification Body;
- (b) ensure that the information provided is accurate, verifiable and addresses all of the requirements for approval;
- (c) resolve any complaints in relation with the approved training course conducted;
- (d) not take the initiative to contact members of the Governing Council, Examination Board or examiners in relation to their approval/re-approval process;
- (e) not in any way damage the reputation of HKICA and the training organizations and fully cooperate with the Certification Body in investigation of any violation of the obligations and requirements as stipulated in this document;
- (f) not allow their staff to be involved in any impropriety, corrupt, bribes, commissions, gifts or any other activities offered by the students or any other interested parties;
- (g) not to bring the certification scheme into disrepute, and refrain from making any misleading or unauthorised statement regarding the approval;
- (h) comply with the rules in use of certificate and HKICA's logo details of which are addressed in Section 8 of this Manual.

## **7 SUSPENSION AND TERMINATION**

- 7.1 The Certification Body will impose suspension or termination to approved training organization who fails to comply with the obligation of approved training organization as described in this Manual.
- 7.2 Training Organization approval may be suspended, withdrawn or cancelled for any of the following:
- (a) failure to abide by any of the obligations set out in HKICA02;
  - (b) not paying fees and charges;
  - (c) failure to provide the documentation for re-approval;
  - (d) failure to implement corrective actions satisfactorily within an agreed timeframe;
  - (e) failure to deliver HKICA approved training courses effectively and consistently;
  - (f) misuse of logos and claims of approval;
  - (g) actions or activities that bring the HKICA schemes into disrepute;
  - (h) failure to resolve a complaint in relation to training course organized.
- 7.3 The approved training organization may, by serving a written notice signed by the representative of the training organization voluntarily suspends or terminates its approval for any or all of its approved training establishments. The approved training organization 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 notice will be the effective date.
- 7.4 The suspension or termination imposed by the 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 A training organization 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.



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## 7.6 Training courses

7.6.1 The Certification Body reserve the right to suspend, withdraw or cancel the approval of a training course for any of the following:

- (a) failure to abide by any of the obligations set out in HKICA02;
- (b) failure to resolve a complaint in relation to the training course;
- (c) performance of trainer does not fulfill HKICA's requirements.



## 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 should be raised formally in written form and signed. Anonymous complaint will not be handled.
- 8.1.3 The Operation Manager shall acknowledge in writing the receipt of the complaint via e-mail within 2 days on receipt of the complaint.
- 8.1.4 The Operation Manager should gather all necessary information from the parties concerned in order that the case can be fully assessed by internal investigation.
- 8.1.5 After review of all information, the Certification Body shall decide whether the case will put forward to the Governing Council.
- 8.1.6 The Governing Council shall take into consideration all of the material submitted when reaching a decision. No person having a direct interest in the case of complaint in hand shall serve on the Board.
- 8.1.7 The Council may interview any person involved in the matter.
- 8.1.8 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.
- 8.1.9 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.





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## 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 F04 “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.



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- 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.



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## **9 USE OF HKICA CERTIFICATE AND CERTIFICATION SYMBOL**

9.1 Approved training organizations should:

- 9.1.1 abide by the regulations as set forth by HKICA and the Certification Scheme;
- 9.1.2 make claims regarding approval only in respect of the scope for which approval has been granted;
- 9.1.3 not use the approval status 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 approval upon termination or withdrawal of certification;
- 9.1.5 Approved training organizations are entitled to use the HKICA's logo for promotion of approved training courses.



Appendix 1

**Approval Criteria of Trainings Organization and Training Courses**

1 Premises and Facilities

- 1.1 Training shall be carried out in a designated area separate from any other operation within the organization. It shall contain a lecture room and office(s), where necessary.
- 1.2 The training area shall be constructed in accordance with good building practice and shall be maintained in good condition.
- 1.3 The minimum headroom should preferably be 1.5m.
- 1.4 The temperature of the training room should be maintained within the range of 18 - 25 °C and sufficient illumination should be provided.
- 1.5 All exit doors, fire exits and escape route in case of fire alarm shall be clearly marked.
- 1.6 First aid facilities shall be designated in case of injury or illness.
- 1.7 The training establishment shall be kept in a clean, tidy condition, and gangways shall be kept clear of obstructions.
- 1.8 The training area and all equipment and facilities therein shall conform to Code of Practice as stipulated by Fire Services Department.

2 Organization structure of the Training Organization

- 2.1 The Training Organization and each Training Establishment shall be managed by a competent person having qualifications and experience commensurate with the training activities.
- 2.2 The Training Organization shall implement and maintain a quality management system embracing the following aspects to support the training activities:

- (a) Control of documents and records
- (b) Resource provision
- (c) Training, assessment and qualification of Training Organization personnel
- (d) Assessment and qualification of training processes
- (e) Training course planning
- (f) Selection of trainers
- (g) Monitoring and measurement of course performance
- (h) Mechanism for appeal

2.3 These features of a quality management system need only apply to the particular activities of the Training Organization.

### 3 Training programme

3.1 Course materials addressing the following aspects should be prepared:

- (a) the content of each session together with start and finish times including scheduled breaks;
- (b) course notes for students;
- (c) course notes for tutors;
- (d) case study;
- (e) exercises brief (including model answers);
- (f) any supplementary materials;
- (g) modes of assessment;
- (h) examination papers and a copy of the specimen paper (where appropriate);
- (i) proposed Certificates of Successful Completion and Certificates of Attendance;
- (j) trainer competence/qualification information;
- (k) ratio of practical/lecture/course work/home study; and
- (l) training aid and facilities.

3.2 Student attendance shall be recorded for all courses.



#### 4 Evaluation of assessment questions

4.1 There shall be a system by which candidate's replies to end-of-course evaluation questions are periodically reviewed in order to detect those questions which consistently elicit incorrect answers from candidates.

#### 5 Security

5.1 Evaluation materials, including questions and information on candidates, require handling with a high degree of security, confidentiality, integrity and impartiality. If data at the Training Organizations are computerized, a documented procedure shall cover, as a minimum, general security, authorization for access, and measures to prevent loss of hard copy and/or computerized data.

5.2 Secure lockable storage facilities shall be provided for all evaluation material including questions, answers and techniques. These must be located in an area to which candidates do not have unsupervised access. A secure facility for the retention of candidates' records and results shall also be provided.

5.3 Where evaluation material is stored at a location not under the constant supervision of staff of the Training Organization, e.g. at a site remote from any permanently established and staffed training centre, the Training Organization shall notify the Certification Body management of the location and measures in place to safeguard the security and confidentiality of examination material.

5.4 The Certification Body reserves the right to audit such storage facilities.

#### 6 Examination regulations

6.1 The Training Organization will have a system for ensuring that the examination is conducted in a fair and impartial way. Measures in avoiding candidates from cheating shall be addressed.



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## 7 Consistency of evaluations

- 7.1 The Training Organization is to make every effort to ensure that its standard of evaluation (s) is consistent and at all times complies with requirements.
- 7.2 The evaluation system shall include a mechanism for the periodic double scrutiny or moderation of random samples of candidates' examination papers. The procedure for double scrutiny should be such that the first examiner is unable to forecast when double scrutiny will occur.
- 7.3 Any significant difference between the initial marks awarded and those awarded by the second examiner or moderator shall be investigated and appropriate action taken within the Training Organization system to restore consistency.
- 7.4 The double scrutiny or moderation must take place before the candidate is informed of evaluation results.
- 7.5 The Training Organization is to ensure that a candidate is not given the same evaluation paper in any subsequent examination he may take. This will include re-evaluation.

## 8 Grading of evaluations

- 8.1 Marking schedules for all possible solutions are to be produced for all narrative answer questions and are to include key points and marks for answers. These shall be prepared by the trainer.
- 8.2 The conduct of role play or case study evaluation is to be defined by written procedures which shall include assessment and marking schedules for all possible solutions, observation of the candidate for compliance with auditing techniques and preparation of auditing reports. Practical evaluation marking schedules shall be prepared by the trainer.



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8.3 All evaluation marking is to be carried out using red ink.

8.4 Evaluation results shall be notified to the candidates not later than a defined period from the date of the evaluation.





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## Appendix 2

Use and format of HKICA certification symbol :

- 1 Approved training organization 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 mark
  - 2.3 Approved Course
- 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:



- 8 Color code of the symbol :
  - 8.1 C : 286C
  - 8.2 A : 185C
  - 8.3 HKICA: black
  - 8.4 CSQMSA and certified level : 185C



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- 9 The certification symbols may be enlarged or reduced in size. Irrespective of its size, the features of the accreditation symbol, the identification code and the serial number 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:



CSQMSA Approved Course

主办机构

Organised by



**Hong Kong Institution of Certified Auditors**  
**香港专业审核师学会**

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