

Audit and Certification

審核與認證 息息相關

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Background

- **Testing and Certification Services** was one of the six pillar industries for propelling Hong Kong towards a knowledge based economy as set out in the **2009 Chief Executive's Policy Address**.

Brand 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.

Four trades are included by the Hong Kong Council for Testing and Certification (HKCTC):

- Chinese Medicine
- Food
- Construction Materials
- Jewelry

Background

Product Certification for HA Materials Suppliers

Ready Mixed / Site Batch
Concrete
(QSPSC)

Panel Wall Partitions
(PCCS-PFPP)

Timber Doorsets
(PCCS-PFPP)

Cement Products
(PCCS-CP)

Tile Adhesives
(PCCS-TA)

Repair Mortars
(PCCS-RM)

Ceramic Tiles
(PCCS-CT)

Aluminum Windows
+ 4-bar Hinge Assembly
(PCCS-AW)

Close-coupled WC Suites
(PCCS-WC)

uPVC Drainage Pipes
& Fittings
(PCCS-UP)

Fabric / Mesh Reinforcement
(PCCS-MR)

. . .

More To Come



Indicator : Demand for Certification

Reflection on
Quality of Service ?

ISO 9001 - East Asia and Pacific												
Year	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Country	185846	240938	266100	320320	354056	366491	408498	438477	471836	476106	467320	476027
Australia	19975	17365	16922	17440	7401	8773	9143	8784	9659	9185	13123	19731
Brunei Darussalam	36	46	53	52	52	52	69	61	68	70	88	87
Cambodia	5	5	6	10	11	7	34	6	12	13	18	28
China	96715	132926	143823	162259	210773	224616	257076	297037	328213	333870	337033	342800
Fiji	2	2	14	19	9	11	11	10	9	13	20	27
Hong Kong, China	2683	3252	3449	4729	3251	3499	3985	3971	3698	3708	2463	2295
Indonesia	1318	3134	4068	4783	4532	5713	5476	6524	3999	5392	7890	7585
Japan	38751	48989	53771	80518	73176	62746	68484	58836	56912	50339	45990	45785
Kiribati								1	1	11	1	1
Korea, Democratic People's Republic	63	773	939	1208	2787	3543	2404	3002	1856	1823	2116	2218
Korea, Republic of	10640	12416	14033	15739	15794	23036	23400	24778	27664	27571	11379	11835
Lao People's Democratic Republic				1	3	2	2	9	11	13	22	29
Macau, China	58	80	83	91	99	102	108	91	119	127	100	115
Malaysia	3076	4337	5695	6786	7838	6267	6463	8614	10757	11746	12002	11487
Micronesia, Federated States of					6					1	0	0
Mongolia	4	7	10	13	18	23	35	2	3	11	17	19
Myanmar	3	6	9	19	21	18	59	26	25	45	112	123
New Zealand	2816	2632	2170	2150	1314	1228	1129	1000	945	983	1226	1290
Papua New Guinea		1	11	33	21	24	12	41	33	30	34	61
Philippines	456	1108	1414	2007	2199	2412	1992	944	1515	1904	1938	1600
Samoa			2	2					3	2	1	0
Singapore	3341	3964	6282	5830	4150	4526	4164	3934	5644	5817	5990	5778
Solomon Islands										1	2	1
Taipei, Chinese	2991	5676	7652	9549	10402	10646	11022	11971	8335	8540	11118	10328
Thailand	1675	2620	3231	3913	5915	5275	6097	6799	7575	8711	8901	9017
Tonga			1	1					1	36	40	1
Tuvalu	1	1			1	1				0	0	0
Vanuatu			1	1	1					0	2	0
Viet Nam	1237	1598	2461	3167	4282	3971	7333	2036	4779	6144	5694	3786

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Status of Certification and Audit

Nature of Certification System in Hong Kong

- Voluntary Scheme – ISO is a high quality voluntary International Standards
- HKSAR as major customer demanding supplier to be ISO certified
- No requirement on Auditor (Competent of Auditor rely on CB)
- Quality Status (increasing/decreasing?)

Customer's expectation (responsibility)

- Need a paper ISO certificate or quality service/product? (Know the content?)
- Supplier with minimum performance or continuously improvement? (Training requirement)
- Quality level (requirement on quality personnel? (Standard rely on 3rd party, 2nd party or internal auditor?))

Quality of Certification and Audit

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Brand 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.

Quality of Certification and Audit Services :

a very good standard

- independent party to provide services

Independence and competence

- Certification Bodies
- Auditors

Customer's position and responsibility

- Promote and Demand Professionalism

ISO 19011 :2011

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.

H K Practice (Product Scheme)

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.

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

Who govern

Qualification

+

Experience

+

Academic

Quality management principles

Competence (BS EN ISO 9000:2015 2.2.5.3)

A QMS is most effective when all employees understand and apply the skills, training, education and experience needed to perform their roles and responsibilities. It is the responsibility of top management to provide opportunities for people to develop these necessary competencies.

Engagement of people (BS EN ISO 9000:2015 2.3.3.1)

Competent, empowered and engaged people at all levels throughout the organization are essential to enhance the organization's capability to create and deliver value.

Possible actions (BS EN ISO 9000:2015 2.3.6.4)

- ensure people are competent to successfully promote and complete improvement projects;
- ensure people are competent to analyse and evaluate data as needed;

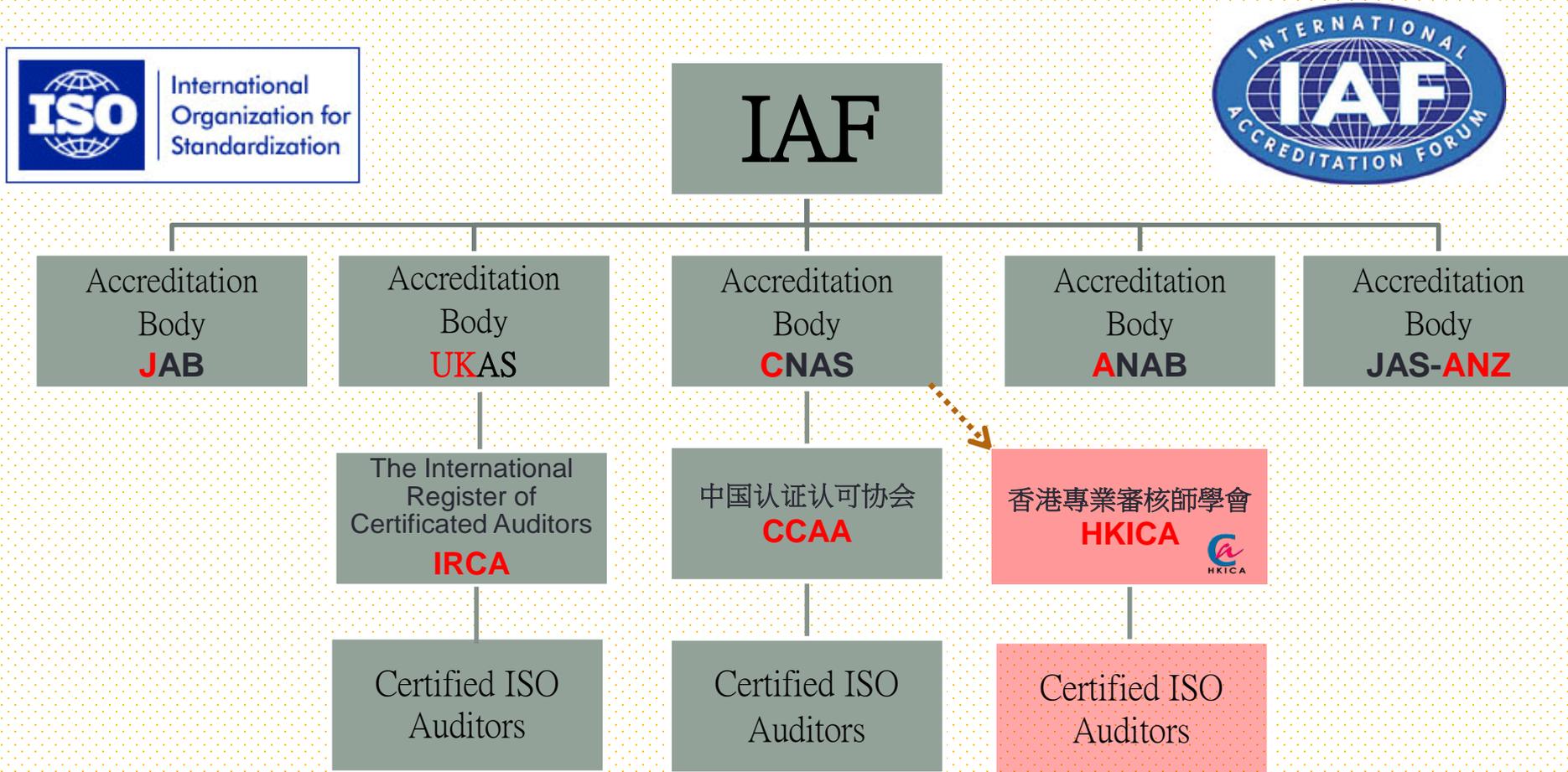
ISO Personnel

- 3rd party auditor
- 2nd party auditor
- Internal auditor
- Consultant

Ensure Competence !!



HKICA - SME Development Funded Project



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



HKICA - SME Development Funded Project

Membership Class		
<u>The International Register of Certificated Auditors (IRCA)</u>	<u>The Hong Kong Institution of Certified Auditors (HKICA)</u>	<u>中国认证认可协会 (CCAA)</u>
Internal auditor	Internal auditor (内审员)	
		实习审核员
	Assistant auditor (助理审核师)	
		审核员
Auditor	Auditor (审核师)	
		审核员
Lead Auditor	Lead Auditor (主任审核师)	
		审核员
		Exam →

Academic + Audit Log

Academic + Experience (Audit Log) + Examination

Standard for Certification of Persons : ISO/IEC 17024

- “Has been developed with the objective of achieving and promoting a globally accepted benchmark for organizations operating certification of persons”
- “. . .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.”

Certification of Persons in 17024: 2012 Revision

- “*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. New term *Certification of Persons* and *Certification Body for Persons* is so everybody will understand that this is certification of people (not employees).
- General Personnel Requirements (6.1) Clauses pertaining to competence, training and signing of conflict of interest and confidentiality agreements added.
- Principles section added in Annex A. Includes principles associated with impartiality, competence, confidentiality and openness, responsiveness to complaints and appeals, and responsibility.

Certification & Professionalism - Quality Personnel as a Discipline



Competence of Quality Management Teams to include dedicated personnel:

- ❑ **Systems management**
 - ✓ Quality Management Unit
 - ✓ Environment Management Unit
 - ✓ Safety & Health Unit
- ❑ **Internal audits**
 - ✓ Audit Unit, Performance Verification Team
- ❑ **Materials Surveillance Audits**
 - ✓ Components & Materials Team
- ❑ **Testing Laboratory Audits**
 - ✓ Materials Testing Management Unit

Quality of Certification and Audit

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Audit and Certification are Professional Services

Knowledge and Competent (Experience)

Professionalism (Impartiality and Conduct)

Continuous Development and Training

Conclusions

- Audit and Certification are co-existence
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- Audit and Certification are professional services
- Customer has responsibility to demand quality of audit and certification services
- Certification of Persons (Auditor) is a key element in ISO certification system
- Competency, professionalism, continual professional development and training are essential for Auditor registration system
- Internal Auditor of the organization and external Auditors are of equal important ensuring compliance of ISO system

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Thank You !!

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