

**Integrity Management
of
Conformity Assessment Bodies**

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Integrity

**Adherence to moral principles
and code of conduct**



Integrity

For conformity assessment bodies (CAB), essential requirements for code of conduct are specified in HKAS Supplementary Criteria No. 6.



Integrity

HKAS SC-06
Issue No. 3
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Page 1 of 4

HKAS Supplementary Criteria No. 6

Code of Conduct

1 INTRODUCTION

- 1.1 Clause 5.7 of HKAS 002 Regulations for HKAS Accreditation stipulates that an accredited organisation shall maintain complete integrity and impartiality in all circumstances. The accredited organisation shall issue and implement a pertinent code of conduct for all its directors, officers, employees and other personnel involved in its operation. Clause 5.12 requires an accreditation organisation to have a clear policy in writing concerning the provision or receipt of advantages as stipulated in the Prevention of Bribery Ordinance by its staff. The policy document shall contain a statement notifying its staff the law under Section 9 of the Prevention of Bribery Ordinance (Cap. 201). The accredited organisation shall further ensure that the policy is made known to all its staff members.
- 1.2 In order to ensure that an HKAS accredited organisation meets the above regulations, it shall document and implement a code of conduct in accordance with requirements stated in this document.
- 1.3 In accordance with HKAS 002 clause 6.7, suspension or termination of accreditation may be imposed by HKAS Executive when an accredited organisation is, in the opinion of HKAS Executive, involved in any impropriety, corrupt practice or other activities which is prejudicial to the good reputation of HKAS.

2 ESSENTIAL REQUIREMENTS FOR THE CODE OF CONDUCT

- 2.1 The code of conduct of an accredited organisation shall be documented within its management system for stating its policies on impartiality, confidentiality, professionalism, integrity, conflict of interest, and the organisation's commitment to complying with the Prevention of Bribery Ordinance (Cap. 201) of Hong Kong or applicable laws and regulations of the country where the accredited organisation is located.
- 2.2 The code of conduct shall be as extensive as necessary, and shall cover at least the following aspects:
 - (a) Acceptance of advantage;
 - (b) Offer of advantage;

(Source : HKAS Supplementary Criteria No. 6.)



Integrity

The code of conduct shall be as extensive as necessary, and shall cover at least the following aspects:

- a) Compliance with the Prevention of Bribery Ordinance (Cap. 201) of Hong Kong
- b) Compliance with laws of Hong Kong or of relevant jurisdictions;
- c) Compliance with relevant requirements of applicable professional standards
- d) Impartiality
- e) Confidentiality
- f) Conflict of interest;
- g) Use of company assets;
- h) Outside employment;
- i) Relationship with customers, supplier and contractors;
- j) Procedures for reporting suspected violation and established mechanism for the prompt and fair adjudication of alleged violations; and
- k) Disciplinary actions to be taken against violations.

(Source : HKAS Supplementary Criteria No. 6.)



Misconduct

Common types of misconduct relating to conformity assessment :

1. Unprofessionalism
2. Undue benefit
3. Falsification
4. In breach of law



Misconduct

Difficulties of prevention of misconduct :

1. Quality control is not possible
2. Covertness
3. Remoteness
4. Influence of non-employees



Integrity Management

Key Elements of Integrity Management :

1. Instill and build a culture of integrity
2. Education
3. Governance and control
4. Communication and support



Integrity Management

Instill and build a culture of integrity

- Organisation values
- Code of conduct
- Anti-bribery & corruption policy
- Exemplary role model
- Promotion of ethics and professionalism



Integrity Management

Education

- Orientation
- Internal and external training
- Mentoring



Integrity Management

Governance and control

- Covert inspection
- Independent audit / capacity audit
- Job rotation
- Laboratory information management system



Integrity Management

Communication and support

- Protecting employees from undue pressure
- Management site walk
- Internal reporting of malpractice
- Regular declaration
- Whistle-blower policy



Hong Kong Association for Testing Inspection and Certification (HKTIC)

Thank you

