



**Hong Kong Association for
Testing, Inspection and Certification Ltd.
Professional Certification Scheme for Testing Personnel**

**PCSTP03
AUTHORIZATION OF QUALIFYING BODY**

First Issue
Issued by Hong Kong Association for
Testing, Inspection and Certification Limited

Secretariat
G.P.O. Box 471, HONG KONG

This document is the property of HONG KONG Association of Testing, Inspection and Certification Limited. It shall not be reproduced in whole or in part without the written approval of the Chairperson of HKTIC.



Table of Content

Section	Section Title	Page
	Introduction	1
1	Definitions and Abbreviations	3
2	Authorization Procedures	6
3	Premises and Facilities of Authorized Qualifying Body	8
4	Personnel and Quality Management System of Authorized Qualifying Body	11
5	Examination	13
6	The Obligation of Authorized Qualifying Body	16



INTRODUCTION

Hong Kong Association for Testing, Inspection and Certification Limited was first founded by a group of testing laboratories, inspection companies and certification bodies that recognized the growing importance of product testing, inspection and certification services in supporting further social and economic development in Hong Kong. In 1981, the Association was officially incorporated as an independent and non-profit making organization. Its primary objectives are:

1. to enhance the standard and quality of testing, calibration, inspection and certification for the furtherance of international trade and consumer satisfaction;
2. to ensure and promote the credibility of the services provided by members by establishing and maintaining a code of professional conduct;
3. to consider, investigate and inquire into all matters relating to the activities of testing, calibration, inspection and certification;
4. to collect and disseminate information relating to the activities of testing, calibration, inspection and certification or otherwise likely to be of interest to members and others;
5. to maintain a dialogue with the government and other bodies and organizations on all matters concerning the activities of standards, testing, calibration, inspection and certification; and
6. to coordinate the activities and promote co-operation among members.

The Association is managed by the General Committee which is elected by the members.

Determined to avert the lack of recognition of professional status of testing and certification personnel, a Professional Certification Scheme for Testing Personnel (PCSTP) was established in July 2011. Certification Criteria were established for the following six disciplines:

1. chemical testing
2. construction material testing
3. electrical products testing



4. microbiological testing
5. textiles and garments testing
6. toys and hardlines testing

The scheme is developed under HKTIC (hereafter named as Certification Body) and managed by the Certification Board, which is responsible for the granting, reviewing and revising the personnel certification titles and requirements in accordance to the prevailing demand of the testing industries served by the scheme. The Certification Board, in turn, may appoint specialist Working Committees as it deems necessary to oversee specific parts of the scheme.

The Certification Board will be supported by the Programme Secretariat (PS) established under HKTIC and is responsible for the daily operation of the scheme.

Sub-contracting of part of the certification services such as examination may be initiated under existing resources which are inadequate to meet the heavy workload. The sub-contractor for examination is also known as Authorized Qualifying Body who shall be an organization or persons familiar with ISO/IEC 17024 and has experience in certification of testing personnel. This document outlines the criteria of Authorized Qualifying Body to be approved. The procedures and regulations in this document will be amended from time to time and the organizations certified or have applied for certification will be notified of the changes.



1 DEFINITIONS AND ABBREVIATIONS

- 1.1 **Appeal:** request by applicant, candidate or certified person for reconsideration of any adverse decision made by the certification body related to her/his desired certification status
- 1.2 **Authorised Qualifying Body (AQB):** an organisation reviewed and approved by the Certification Board to conduct and administer Certification Scheme examinations strictly in accordance with published requirements
- 1.3 **Approved Training Organisation (ATO):** An organisation assessed and approved to provide validated training courses specified by Certification Body for personnel intending to fulfill the competence requirements
- 1.4 **Candidate:** applicant who has fulfilled specified prerequisites and formally submitted application to join the certification process
- 1.5 **Certification process:** all activities by which a certification body establishes that a person fulfils specified competence requirements, including application, evaluation, decision on certification, surveillance and recertification, use of certificates and logos/marks
- 1.6 **Certification scheme:** specific certification requirements related to specified categories of people to which the same particular standards and rules, and the same procedures apply
- 1.7 **Certification system:** set of procedures and resources for carrying out the certification process as per certification scheme leading to the issue of a certificate of competence including maintenance demonstrated ability to apply knowledge and/or skills, and where relevant demonstrated personal attributes, as defined in the certification scheme
- 1.8 **Complaint:** conformity assessment request, other than appeal, by any organization or individual to a certification body, for corrective action relating to the activities of that body or to those of any of its customers
- 1.9 **Co-ordinator:** A person appointed by an approved AQB and authorised by the



Certification Body to control and administer Certification Scheme examination(s) conducted under the auspices of the AQB.

- 1.10 **Evaluation:** process that assesses a person's fulfillment of the requirements of the scheme leading to the decision on certification
- 1.11 **Examination:** mechanism that is part of the evaluation, which measures a candidate's competence by one or more means such as written, oral, practical and observational
- 1.12 **Examiner:** person with relevant technical and personal qualifications, competent to evaluate the candidate applying for certification by either setting the examination questions and/or score an examination or be a professional interviewer as defined below
- 1.13 **Professional Interviewer:** person with relevant technical and personal qualifications, competent to conduct a professional assessment by interview in evaluation of candidate applying for certification
- 1.14 **Qualification:** demonstration of personal attributes, education, training and/or work experience
- 1.15 **Scope of certification:** the activities for which a person has been certified
- 1.16 **Scope of authorization:** The location(s) of the Establishments and the examination capacity for which the Qualifying Body is granted authorized
- 1.17 **Suspension:** certification held in abeyance by HKTIC
- 1.18 **Termination:** withdrawal of certification
- 1.19 **Test category:** a name used to represent a branch of testing, calibration or other laboratory activity for which HKTIC provides certification under PCSTP
- 1.20 **Trainer:** person with relevant technical and personal qualifications, competent to conduct training courses for addressing the competence requirements of the certification scheme of testing personnel



- 1.21 **Training Establishment:** The training locations of the approved organizations which are included in the scope of approval
- 1.22 **Training Organization:** the company or other body approved under this Scheme. Such approval may include one or more Training Establishments
- 1.23 **Voluntary termination:** termination requested in writing by a certified person
- 1.24 **PCSTP:** Professional Certification Scheme of Testing Personnel
- 1.25 **HKTIC:** Hong Kong Association for Testing, Inspection and Certification Limited
- 1.26 **TIC:** testing, inspection and certification

For any other terms not listed above, the relevant definitions in ISO/IEC 17000 and the International Vocabulary of Basic and General Terms in Metrology apply.



2 AUTHORIZATION PROCEDURES

- 2.1 The Certification Board is deemed to be an Authorised Qualifying Body to conduct and administer Certification Scheme examinations.
- 2.2 Assessment for authorization of other Qualifying Body shall be carried out by the Certification Board in accordance with this document, and shall comprise a review of the application documentation and an onsite audit of the Organizations, if deemed necessary.
- 2.3 Authorization of each Qualifying Body shall be granted for a specific scope. Where a Qualifying Body has more than one 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 Qualifying Body where this is remote from the Establishment(s).
- 2.4 The assessment team
 - 2.4.1 As a minimum, the Assessment Team shall be composed of a Team Leader who shall be a member of the Certification Board. The Board may nominate other independent professional and/or academia to the Team where their presence is considered necessary because of the size of the Qualifying Body.
- 2.5 Application for approval
 - 2.5.1 Qualifying Body wishing to gain authorization shall submit to the Certification Body a proposal which shall be accompanied by the following documentation:
 - (a) general description of the functions, organization and management of the Qualifying Body, including Establishments to be covered;
 - (b) layout of the examination centers; and
 - (c) summary of qualifications of all examiners.
- 2.6 Documentation review
 - 2.6.1 The Team Leader will review the documentation. In need of further evidence, the Team Leader will inform the Programme Officer who is responsible for



communication with the Qualifying Body for clarification. The application will not be processed until all required documents are submitted.

2.7 Audit visit(s)

2.7.1 The arrangements for the audit visit, if deemed necessary, will be made by the Programme Officer in consultation with the Team Leader and all interested parties.

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

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

2.8 Reporting

2.8.1 The Team Leader, in consultation with any other Team members, shall produce a report for approval by the Certification Board within three weeks. Wherever possible, reports are to be submitted to the applicant within six weeks of the audit or confirmation of receipt of the application.

2.8.2 The applicant shall have right of appeal to the Certification Board if dissatisfied. The decision of the Appeal Board shall be final.

2.9 Approval

2.9.1 If the Certification Board recommends approval of the Qualifying Body and/or Establishments, the Authorized Qualifying Body/ Establishments will be posted on the Scheme website www.hktic.org.hk.

2.10 Maintenance of authorization

2.10.1 The Certification Body will review reports of evaluation of the facilities of the examination centers and the examination questions as provided by the examiners of



PCSTP03

AUTHORIZATION OF QUALIFYING BODY

Issue 1.0, Issue date: 28 September 2011, Implementation date: 28 September

the Authorized Qualifying Body in past three years. Recommendations for improvement will be given to the examiners and Authorized Qualifying Body, if necessary. Re-authorization will be granted for another three years only when the recommendations have been addressed to the satisfaction of the Certification Board.



3 PREMISES AND FACILITIES OF AUTHORIZED QUALIFYING BODY/ESTABLISHMENTS

- 3.1 Examination shall be carried out in a designated area separate from any other operation within the organization.
- 3.2 The Authorized Qualifying Body must provide quiet examination rooms supplied with all necessary services (heat, power, lighting, etc.), and all facilities provided shall comply with all relevant statutory health and safety legislation requirements including the following:
 - 3.2.1 The minimum headroom should preferably be 2.5m.
 - 3.2.2 The temperature of the room should be maintained within the range of 18 - 25°C and sufficient illumination should be provided.
 - 3.2.3 All exit doors, fire exits and escape route in case of fire alarm shall be clearly marked.
 - 3.2.4 First aid facilities shall be designated in case of injury or illness.
 - 3.2.5 The Authorized Qualifying Body shall be kept in a clean, tidy condition, and gangways shall be kept clear of obstructions.
 - 3.2.6 The Authorized Qualifying Body and facilities therein shall conform to Code of Practice as stipulated by Fire Services Department.
- 3.3 Examination coordinator must ascertain that the examination conditions are to the satisfaction of all candidates prior to the commencement of Certification Scheme examinations. This includes provisions for acceptable levels of comfort (lighting, temperature etc). This may be achieved verbally or by the prominent positioning of a notice in the examination room which states that it is the candidate's responsibility to inform the examination coordinator if they feel that the prevailing conditions are such that they may adversely affect the examination result.
- 3.4 In the event that, after an examination has started, examination conditions deteriorate to a level below that required by the Certification Body, the examination must be



terminated or suspended and not restarted until such time as the conditions are restored to a standard conducive to maintaining the candidate's concentration and to the conduct of Certification Scheme examinations.

- 3.5 Where premises are shared between training and examination, there shall be no joint usage of the facilities, i.e. examinations shall not take place whilst the facilities are being used for training or vice versa.
- 3.6 Where the Authorized Qualifying Body offers Certification Scheme examinations at one or more remote examination centers on a permanent or frequent basis, there shall be a procedure covering the conduct of examinations at each examination centre. This procedure will address all of the requirements contained within this document and will be subject to audit on site at the discretion of the Certification Body.



4 PERSONNEL AND QUALITY MANAGEMENT SYSTEM OF QUALIFYING BODY

- 4.1 The Authorized Qualifying Body shall nominate for authorization by the Certification Body an employee of the Authorized Qualifying Body who shall be known as the Authorized Qualifying Body Coordinator and who shall be responsible for the control and administration of the quality system and be the primary contact between the Authorized Qualifying Body and Certification Body. The Authorized Qualifying Body Coordinator needs not preclude the individual from holding another appointment within the organization.
- 4.2 The primary function of the Authorized Qualifying Body Coordinator is to ensure that the Authorized Qualifying Body at all times complies with the requirements of Certification Body and that the Authorized Qualifying Body evolves and implements appropriate systems and procedures so as to ensure the consistency of Certification Scheme examination standards.
- 4.3 It is required of the Authorized Qualifying Body Coordinator to inform the Certification Body of any abuse of the Certification Scheme, of which he may become aware, as well as Authorized Qualifying Body noncompliance and corrective action. All instances of non-compliance with requirements shall be recorded.
- 4.4 Certification Scheme examinations shall be conducted only by those personnel named in the Authorized Qualifying Body quality system and on the Authorized Qualifying Body authorization as examiners.
- 4.5 Authorized Qualifying Body will not subcontract in part or in whole the Certification Scheme examinations to any other parties.
- 4.6 Authorized Qualifying Body may not conduct examinations solely for candidates employed by the same organization that owns the Authorized Qualifying Body, or who are employed by an organization having a commercial interest in the Authorized Qualifying Body.
- 4.7 The Authorized Qualifying Body shall permit only those personnel approved by the Certification Body as examiners to supervise the conduct of Certification Scheme qualification examinations.



- 4.8 All examination staff members are required to declare any interest in any candidate in whose examination they are involved in any capacity. An examiner is prohibited from direct involvement in any examination of a candidate in whom they may have an interest by virtue of:
- (a) having a common employer;
 - (b) having provided training at now and within the preceding half year; and
 - (c) any other circumstance which may potentially threaten impartiality.
- 4.9 The Authorized Qualifying Body 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) Control of examination questions and papers
 - (d) Assessment and qualification of examiners
 - (e) Examination planning
 - (f) Selection of subcontractors including contract examiners
 - (g) Monitoring and measurement of examination venue and facilities provided
 - (h) Mechanism for appeal
- 4.10 These features of a quality management system need only apply to the particular activities of the Authorized Qualifying Body.



5 EXAMINATION

5.1 There shall be a system by which candidate's replies to examination questions are periodically reviewed in order to detect those questions which consistently elicit incorrect answers from candidates.

5.2 Security

5.2.1 Examination 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.

5.2.2 Secure lockable storage facilities shall be provided for all examination 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.

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

5.2.4 The Certification Body reserves the right to audit such storage facilities and to direct that specific measures be in place to safeguard security and confidentiality.

5.3 Examination regulations

5.3.1 The Authorized Qualifying Body will have a procedure for ensuring the identity of candidates, which may include a minimum of 10% verification of the identity card.

5.3.2 The Authorized Qualifying Body will have a system for ensuring that candidates satisfy all the following examination requirements:

- (a) Candidates shall be prohibited from using red ink or correction fluid when completing examination papers. Candidates will be required to initial beside any



corrections they may make on examination papers. In the event that a candidate does use red ink, the Training Organization should take effective steps to ensure that the responsible examiner's remarks and annotations are made in a manner that will not result in confusion.

- (b) Mobile phones and other electronic communications devices are a potential source of cheating and may disturb other candidates if they should be activated during examinations. Consequently mobile phones and any other electronic communications devices shall be barred from written and practical examination facilities.

5.4 Consistency of Certification Scheme examinations

5.4.1 The Authorized Qualifying Body is to make every effort to ensure that its standard of examination(s) is consistent and at all times complies with requirements.

5.4.2 The examination 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.

5.4.3 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.

5.4.4 When double scrutiny or moderation takes place, it is to be recorded on the candidate's records and on the examination result notice.

5.4.5 The double scrutiny or moderation must take place before the candidate is informed of examination results.

5.5 The Qualifying Body is to ensure that a candidate is not given the same examination paper in any subsequent examination he may take. This will include re-examination.

5.6 Grading of examinations

5.6.1 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.



- 5.6.2 The conduct of practical examinations 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 safety notes and notices, and selection and correct usage of test equipment. Practical examination marking schedules shall be prepared by the trainer.
- 5.6.3 All examination marking is to be carried out using red ink.
- 5.6.4 Examination results shall be notified to the candidates not later than a defined period from the date of the examination.



PCSTP03

AUTHORIZATION OF QUALIFYING BODY

Issue 1.0, Issue date: 28 September 2011, Implementation date: 28 September

6 THE OBLIGATION OF AUTHORIZED QUALIFYING BODY

- 6.1 Authorized Qualifying Body shall comply at all times with the guidelines set in this document.
- 6.2 Authorized Qualifying Bodies are required to sign a contract with the Certification Body defining:
- 6.2.1 location and size of the examination centers;
 - 6.2.2 anticipated number of candidates sitting in each examination center;
 - 6.2.3 charges for organizing the Certification Scheme examinations;
 - 6.2.4 estimated time schedule for organizing the Certification Scheme examinations; and
 - 6.2.5 scope of examination papers covered.
- 6.3 All Authorized Qualifying Bodies are required to contribute questions, which shall subsequently be validated and added to the central question bank as maintained by the Certification Body.

主辦機構

Organised by



香港測驗認證協會有限公司

Hong Kong Association for Testing, Inspection and Certification Ltd.

"Any opinions, findings, conclusions or recommendations expressed in this material/event (or by members of the Project team) do not reflect the views of the Government of the Hong Kong Special Administrative Region, Trade and Industry Department or the Vetting Committee for the SME Development Fund."

“在此刊物上／活動內（或項目小組成員）表達的任何意見、研究成果、結論或建議，並不代表香港特別行政區政府、工業貿易署及中小企業發展支援基金評審委員會的觀點。”

「中小企業發展支援基金」撥款資助

Funded by SME Development Fund



工業貿易署

Trade and Industry Department