



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

**PCSTP05
GUIDE FOR EXAMINERS**

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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 with the following primary objectives:

1. to give professional recognition to the testing practitioners so as to attract and retain talented and skilful personnel to enter into the testing industry where Hong Kong enjoys clear advantages and has good potential for further development;



2. to set benchmarks for the upgrade of expertise and technical knowledge of the testing personnel;
3. to improve the professional image of Hong Kong testing industry and contribute to the building up of brand name for Hong Kong testing services

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.

Participation in the scheme is voluntary. Personnel applying the scheme are required to demonstrate that:-

1. they are competent in conducting the specific testing activities for which they are applying for certification or have been certified;
2. they have fulfilled the certification criteria as required; and
3. they are in conformity with all relevant regulations stated in the document PCSTP01 “Regulations for Professional Certification Scheme for Testing Personnel” for activities they have been certified for or for which they are applying for certification.

The quality of the Certification Scheme depends heavily on the calibre and dedication of Examiners including Professional Interviewers. They are the most valuable assets of the Certification Body. To maintain and develop a team of the highest quality, the Certification Body emphasizes their qualifications, experience and training. They are carefully selected based on a set of stringent requirements put together to ensure the quality of certification. Qualified candidates will be subject to an extensive review process which may involve the Certification Board and its Working Committees. Training will be provided by the Certification Body to ensure consistent performance of the Examiners.



Appointment is for a maximum of 3 years and only those who have performed satisfactorily will be reappointed. The Certification Body will organize periodic seminars for examiners to keep their knowledge up-to-date.

This document is intended for use by Examiners including Professional Interviewer of the Certification Body. It explains the procedures for setting examination questions, conducting professional assessments, the roles of individual members and what have to be done to take up such roles. It also gives guidance on techniques and tactics to be used for conducting professional assessments.



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 **Candidate:** applicant who has fulfilled specified prerequisites and formally submitted application to join the certification process
- 1.4 **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
- 1.5 **Certification scheme:** specific certification requirements related to specified categories of people to which the same particular standards and rules, and the same procedures apply
- 1.6 **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
- 1.7 **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
- 1.8 **Evaluation:** process that assesses a person's fulfillment of the requirements of the scheme leading to the decision on certification
- 1.9 **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



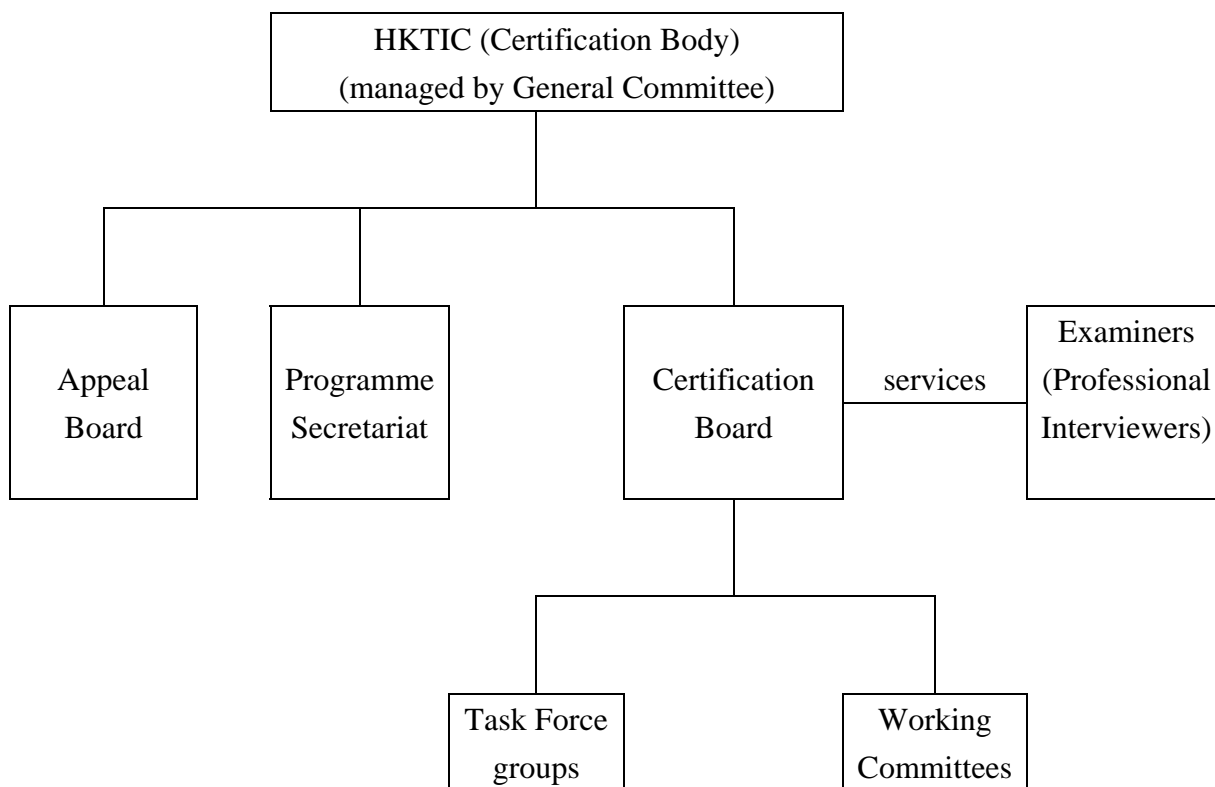
- 1.10 **Examiner:** person with relevant technical and personal qualifications, competent to set the examination questions and/or score an examination in evaluation of candidate applying for certification, examiners also include professional interviewer as defined below
- 1.11 **Professional Interviewer:** person with relevant technical and personal qualifications, competent to conduct a professional assessment by interview in evaluation of candidate applying for certification
- 1.12 **Qualification:** demonstration of personal attributes, education, training and/or work experience
- 1.13 **Scope of certification:** the activities for which a person has been certified
- 1.14 **Suspension:** certification held in abeyance by HKTIC
- 1.15 **Termination:** withdrawal of certification
- 1.16 **Test category:** a name used to represent a branch of testing, calibration or other laboratory activity for which HKTIC provides certification under PCSTP
- 1.17 **Voluntary termination:** termination requested in writing by a certified person
- 1.18 **PCSTP:** Professional Certification Scheme of Testing Personnel
- 1.19 **HKTIC:** Hong Kong Association for Testing, Inspection and Certification Limited
- 1.20 **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 ORGANIZATION STRUCTURE OF THE CERTIFICATION BODY

2.1 The organization structure of the Certification Body is shown in the following diagram:



2.2 The Certification Board is responsible for administering the PCSTP scheme. The Chair of the Board is the authority to grant, maintain, supervise, renew, suspend or terminate any certification under PCSTP on behalf of HKTIC.

2.3 The administration of the Certification Board will be supported by a Programme Officer who is responsible for the daily operation of the scheme with duties ranging from but not limited to promoting the scheme, responding to any queries, processing the applications, carrying out preliminary screening of the applications, scheduling of board meetings, arranging examination venue and schedules, maintaining the registry of the certified personnel.

2.4 The authority and administration of the Certification Board and the Programme Officer are described in Chapter 2 of PCSTP01 “Regulations for Professional Certification Scheme of Testing Personnel”.

2.5 The constitution, terms of reference and roles of the Certification Board and Appeal



Board are described fully in Chapter 3 of PCSTP01 “Regulations for Professional Certification Scheme of Testing Personnel”.

- 2.6 The Certification Board, in turn, may appoint specialist Working Committees as it deems necessary to oversee specific parts of the Scheme. A list of current Working Committees and Task Forces is published in the Scheme website.
- 2.7 Certification is based either on satisfactory results in Certification Scheme examination or satisfactory results in end of course evaluation in training courses approved by the Certification Board. Professional assessment by interview is mandatory and is critical for evaluation of the competence of a testing professional applied for certification. Examiners in setting the examination questions and professional interviews are collectively called assessment personnel.
- 2.8 Certification Criteria
 - 2.8.1 The Certification Scheme is developed based on relevant international standard ISO/IEC 17024. The general regulations for certified testing personnel are set out in PCSTP01 “Regulations for Professional Certification Scheme of Testing Personnel”. Detailed technical and quality requirements for specific disciplines are stated in relevant Certification Handbooks “CC01 to CC06”. These documents are available on the Scheme website. A list of these documents is given in Appendix 1. Where necessary, the Certification Board and the Programme Officer will provide assistance in interpretation of the criteria and requirements.



3 APPOINTMENT, TRAINING, SUPPORT, PERFORMANCE MONITORING AND REAPPOINTMENT

3.1 Appointment and Training

3.1.1 Examiners including Professional Interviewers may be drawn from the ranks of commercial testing laboratories, government establishments, academic institutions, research associations, professional associations and related consultant firms. They are selected on the basis of their professional knowledge, expertise and their ability to investigate and evaluate a testing personnel's competence.

3.1.2 Examiners including professional interviewers are expected to have, as a minimum,

(a) Academic and experience requirements

i) Academic requirements

- a Bachelor degree in relevant discipline; or
- a certified testing professional.

ii) Experience requirements

- 15 years of experience; or
- 5 years of academic experience and
 - 5 years of relevant experience; or
 - 5 years of relevant assessment experience for HOKLAS or accreditation body having MRA with HKAS.

(b) Any other qualifications and experience as deemed equivalent.

3.1.3 Training will be provided by the Certification Body on Certification Scheme of Testing Personnel.

3.1.4 A person identified as a suitable Examiner including Professional Interviewer will be invited to fill in a PCSTP04 "Potential Examiner Information Form" and to attend at the earliest opportunity an examiner training course organized by the Certification Body. The training course will focus on the operation of the Certification Body, interpretation of certification criteria, assessment procedure, assessment techniques and code of conduct.



- 3.1.5 A person having interest as an Examiner can download the “Potential Examiner Information Form” which is available on Scheme website. If accepted, the same training course will be arranged.
- 3.1.6 In general, the member of the relevant Working Committee having the required knowledge will be invited to consider the appointment of an Examiner and make recommendation to the Certification Board. If accepted, the Examiner will be formally appointed by the Chairperson of the Certification Board.
- 3.1.7 A Professional Interviewer will normally be required to attend at least one assessment as an observer before taking part in a professional assessment as a qualified Interviewer. He or she will be given the latest editions of all relevant Certification Body publications and guidance documents. Professional Interviewers are expected to have read and understood these documents prior to conducting assessments.

3.2 Support to Examiners

- 3.2.1 The Programme Secretariat endeavours to provide an Examiner with all the necessary assistance in carrying out their duties. All the information needed for an assessment is provided to them before the assessment. Relevant Certification Body published documents, e.g., PCSTP01 “Regulations for Professional Certification Scheme of Testing Personnel”, Certification Handbooks and standard assessment forms are available at Scheme website www.hktic.org.
- 3.2.2 Appropriate training courses, seminars and workshops for Examiners are also organized and held on a regular basis or when required to share the assessment experience among them and to seek their views on possible improvements to the Certification processes.

3.3 Performance Evaluation and Reappointment

- 3.3.1 The performance of an Examiner for setting the examination questions is evaluated by the Certification Board with advice of respective Working Committee. Evaluation is based on quality and standard of questions and marking scheme of the answers set for the two levels of candidates.



- 3.3.2 The performance of Examiners during a professional assessment is evaluated by one member of the Certification Board and reported to the Certification Board after the assessment.
- 3.3.3 Should there be doubts on the performance and integrity of any Examiner, the Certification Board shall carry out investigation. The decision may be to retrain, suspend or terminate the services of the concerned person. Where appropriate, the Certification Board will provide to the person advice and assistance for improvement.
- 3.3.4 The appointments of all Examiners are reviewed and either re-confirmed in writing or terminated by the Certification Board every three years.
- 3.4 Roles of Examiners
- 3.4.1 The roles of Examiners include , but not limited to, the following:
- (a) setting of examination questions;
 - (b) conducting professional assessment of candidate applied as certified testing professional;
 - (c) acting as auditor in documentation review and/or conducting assessment of training organization; and
 - (d) acting as auditor in documentation review and/or conducting assessment of qualifying body.
- 3.4.2 This document focuses on the setting of examination questions and assessment procedures of professional interviews. Procedures for assessment of training organization and qualifying body are described in PCSTP02 “Approval of Training Organizations and Training Courses” and PCSTP03”Authorization of Qualifying Body” respectively.



4 ASSESSMENT PRINCIPLES AND PROCEDURES

4.1 Objectives of Assessment

4.1.1 The primary objective of a professional assessment is to assess the competence of a candidate in performing the specific activities.

4.1.2 The primary objective of the assessment of Training Organizations and Qualifying Body is to verify the adequacy of facilities of the organization/body in carrying out their roles as training providers and examination centers.

4.1.3 The second function of any assessment is to provide advice, if applicable for improvement of knowledge of candidates or facilities of organization/body.

4.1.4 In practice, the evaluation and provision of advice are done concurrently during the course of an assessment. An assessment should only cover the activities included in the scope of certification or approval. It is not advisable to spend time on assessing other activities as doing so will reduce the time available for assessing the target activities.

4.2 The Assessment Team for Professional Assessment

4.2.1 An assessment team comprises normally two Professional Interviewers, one being the Team Leader. The composition of the assessment team will depend upon the scope and nature of the activities to be assessed.

4.2.2 In any case, an assessment team should include adequate expertise to cover all the activities to be assessed.

4.2.3 The role of the team leader is to liaise with the team member on the observations and prepare the assessment report.

4.3 Formation

4.3.1 The Programme Officer selects two Professional Interviewers from the pool of Interviewers for the discipline to be assessed. The Interviewer having more assessment experience will act as the Team Leader and both Interviewers are informed of their roles.

4.4 The Assessment Process



- 4.4.1 An assessment may be divided into two main parts: preparation and assessment by interview.
- 4.4.2 After the team has been formed in accordance with 4.3, the Programme Secretariat will:
- (a) determine in consultation with the team the mutually convenient date(s) for the assessment;
 - (b) obtain agreement from the candidate to the selected team members and the proposed assessment dates.
 - (c) confirm in writing by e-mail with the team members and the candidate dates and time as well as the names and capacity of members of the assessment team.
- 4.4.3 The Programme Secretariat shall prepare information of the candidate including application form, evidence in support of academic qualifications, certificate of achievements in training courses, certification scheme examination results, etc. and send to the assessment team members normally by e-mail.
- 4.4.4 The team leader will arrange a pre-assessment meeting, face to face, through telephone or email, within a few days prior to the assessment. The meeting should finalize the responsibility of each team member and agree on a tentative question sets for interview. Sufficient time should be allocated to interviewing the candidates as it usually takes longer than anticipated.
- 4.4.5 Form is available for recording the results and the completed form should be signed by the all Examiners.
- 4.4.6 The Certification Board is responsible for review of the assessment report and determines the final results of the assessment.
- 4.4.7 Candidates are notified of the results of assessment within 30 calendar days from attending the examination.



5 PROCEDURES FOR SETTING OF EXAMINATION PAPER

5.1 Preparation of examination questions

5.1.1 Examiners are invited to submit questions for certification examination in respective discipline preferably three months before the commencement of the examination.

5.1.2 Each examiner is expected to submit at least one paper for each written examination module covered by the scope of approval.

5.1.3 On receipt of question papers, the Programme Secretariat shall complete the registration and file it together with the relevant question papers.

5.1.4 The Programme Secretariat with the advice of member of the Certification Board and/or Working Committee shall be responsible for review of all questions held on file prior to their entry into the Certification Body computer database. Review of questions shall take into account:

- (a) duplication;
- (b) conformity with the relevant Certification examination syllabus;
- (c) grammatical correctness and ambiguity; and
- (d) technical accuracy of questions and answers.

5.1.5 The Programme Secretariat shall be responsible for signing and dating the foot of each question paper on completion of the review and retaining a copy of the marked up question paper on file.

5.1.6 For record purposes the following marking system shall be used during review of question papers.

- (a) questions that are selected for entry into the database shall be marked with a tick,
- (b) duplicate questions with the abbreviation 'DUP', and
- (c) questions that are considered unsuitable for other reasons with a diagonal line through the question.

5.1.7 All marking shall be in red ink.



- 5.1.8 At the discretion of the Programme Secretariat and dependent on the number of questions already held in the database, a further review may be carried out on unsuitable questions to determine if they can be re-worded or corrected to make them suitable for use. Where this is done, a copy of the amended question shall be added to the file to indicate its original source.
- 5.1.9 The Programme Secretariat with the advice of member of the Certification Board and/or Working Committee shall be responsible for generating examination papers from the Certification Body Question Database.
- 5.1.10 Access to the database will be restricted to persons holding a valid password. Passwords are allocated or withdrawn by the Chairperson of the Certification Board.
- 5.1.11 The Programme Secretariat shall be responsible for monitoring questions for accuracy, technical content and repeat usage, to avoid mistakes, duplication and bias of questions papers to a particular topic or question type.
- 5.2 Validation of draft examination papers
- 5.2.1 The heading on draft examination papers and answer sheets shall include the word 'DRAFT' indicating that the papers may not be used for examination purposes. The foot of each paper shall contain a clear and unique reference code, indicating the discipline, sub-categories and level for which it is intended. The date of preparation and an issue status number shall also be printed at the foot of each page.
- 5.2.2 All alterations shall be marked on the draft paper in red ink. Hard copies of draft papers that are not in use shall be kept in their appropriate file in a lockable filing cabinet.
- 5.2.3 File numbers for examination papers shall be allocated by the Programme Officer based on the discipline, sub-categories and level for which the paper is intended.
- 5.3 Distribution of draft examination papers
- 5.3.1 Draft examination papers shall be distributed to one member of the Certification Board or an independent academia or professional for comment. Each draft paper distributed for comment shall be accompanied by a standard memorandum comment



sheet. A maximum period of 30 days shall be allowed for technical comment.

5.3.2 The Programme Secretariat shall be responsible for the distribution of papers, receipt of returned memorandum comment sheets and collating any technical comments received. Technical comments received in this way shall be filed with the question papers to which they refer.

5.3.3 Members of the Certification Board on completion of carrying out the review shall sign and date the foot of the paper.

5.4 Final examination paper

5.4.1 The Programme Secretariat shall be responsible for incorporating amendments resulting from comments, into examination papers. This shall be done by altering questions in the Question Database and re-generating amended papers.

5.4.2 Following this and any necessary corrections they shall be ‘frozen’ and master hard copies printed for distribution. Master examination papers shall not have the word ‘DRAFT’ in the heading and will have, in addition to the identification number contained on the draft paper, an issue date at the foot of each page.

5.5 Usage of examination papers

5.5.1 To prevent the possibility of candidates who have failed examinations being given the same examination paper for subsequent re-sit examinations, and the general leakage of information on the content of examination papers by candidates, the following precautionary measures shall be taken.

5.5.2 Certification Body or Existing Authorized Qualifying Body for recording the details of examination papers attempted by candidates shall also be implemented for centrally issued papers. In the event of failed candidates attempting re-sit or repeat examinations at different Authorized Qualifying Bodies, the second (or subsequent) Authorized Qualifying Bodies shall be responsible for determining which examination papers have been used previously, and ensuring that the same papers are not used again.

5.5.3 The Programme Secretariat shall be responsible for issuing new examination papers



within the first 2 to 3 examinations, until such time that sufficient papers exist to guarantee effective rotation to avoid candidate familiarity. New examination papers may contain entirely new questions, a combination of new and old questions from existing examination papers provided that, in both cases, the content of papers broadly covers the overall examination syllabus defined in relevant Certification Body documentation.

5.5.4 New papers that are compiled entirely from questions that have been used previously and have been validated in accordance with this procedure need not be re-validated.

5.6 Monitoring the suitability for use of examination papers

5.6.1 The continuing performance of new question papers shall be reviewed for a period of one year. An annual review of question papers will be carried out in January each year. The continuing performance review shall be based on submission by Authorized Qualifying Bodies, of completed forms (Annual Review of Question Papers) showing the answers given by candidates during examinations incorporating the question papers over the relevant review period. On receipt and processing of these, the Programme Officer will identify questions that consistently elicit incorrect answers and review them accordingly. Question papers that are amended following review shall be reissued under a revised issue status code and the records revised accordingly.

5.6.2 All issued examination papers shall be subject to an annual review to confirm that they continue to reflect current application standards, technology and practice.



6 ASSESSMENT TECHNIQUES

6.1 Approaches to on-site Assessment of training organization/qualifying body

6.1.1 To ensure cooperation during the assessment, assessment team members may like to take the approach that they are there to help the organization being assessed and consider its staff members as partners in the delivery of the approval service.

6.1.2 When checking and reporting conformity and non-conformity with approval criteria, assessment team members should be firm and impartial. They should however, respect the views of the organizations being assessed.

6.1.3 In addition, without imposing their own preferences on the organization and without using up too much assessment time, they are encouraged to give general and non-specific advice on certification requirements upon the request of the organization/body.

6.2 Professional Image

6.2.1 One of the most valuable assets for the assessment team is their professional image. Such an image enhances respect and confidence. To facilitate the projection of such an image, the team members may:

(a) be prepared;

Being caught out because of not familiar with the background of the candidate and knowledge of discipline assessed destroys the professional image. Since assessment time is very limited, the assessment team members should, prior to the assessment, identify and spend more time on aspects which are critical to ensure competence of the candidate or organization/body being assessed.

(b) use appropriate languages as described in 6.3 below;

(c) remain calm and courteous;

Efforts should be made not to become flustered, emotional or argumentative. "Please" and "thank you" are amongst the most powerful words in a team member's vocabulary.

(d) focus on critical issues and make allowances;



Allowances should be made to different answers to a question. To pursue every minor error wastes time and alienates the candidate. Critical comment on minor deficiencies dilutes the effectiveness of critical comment on the major deficiencies. Focus on major issues and not to be distracted by trivialities facilitates the assessment.

- (e) be determined and decisive; and

Once sufficient information has been gathered to form the basis of a sound judgment, there is no point in going over the same ground again.

- (f) use time efficiently

Team members should manage their time to achieve maximum assessment efficiency. Side-tracking into irrelevant issues should be avoided. More time should be spent on significant issues. Assessment activities should be carried out on time in accordance with the agreed timetable.

6.3 Verbal, Written and Body Language

The languages used by an examiner affect his or her image and therefore the degree of success of an assessment. The following are some useful hints for using appropriate languages when interacting with candidate.

- 6.3.1 Speak slowly, confidently, clearly using a low voice and loud enough for the recipient to hear clearly. Keep the statement short and to the point. Use terminology understandable to the recipients. Be precise in questioning.
- 6.3.2 Loosely phrased questions or requests cause confusion and waste time.
- 6.3.3 Expressing a sense of humor may help to alleviate tension.
- 6.3.4 Waiting for your turn to speak and avoiding interrupting others demonstrate your patience, openness and good manner.
- 6.3.5 Self-derogatory statements create doubts on the competence of the team and should be avoided.
- 6.3.6 Criticism will evoke defensiveness, resistance and even antagonism.



- 6.3.7 Derogatory terms such as “bad”, “unsatisfactory”, and “inadequate” should not be used.
- 6.3.8 It is important to remember that assessment teams are for collecting information. Therefore, listening and observing are more important than speaking. When you agree with the speaker, you may like to give a little nod to show your interest and appreciation.
- 6.3.9 When using written language, the same principles as for verbal language apply. In addition, more attention should be given to using words having the exact meaning, grammatical correctness, conciseness and relevance of the statements.
- 6.3.10 Team members should be mindful of their body language as it may inadvertently send a wrong signal of what one actually feels. To start with, team members should greet staff members cheerfully. In most cases, wear a soft smile and look at the audience gently, especially when you are speaking, to show that you are happy to interact with them.
- 6.3.11 When listening, it is a good manner to look at the speaker but not too intensively as an over intensive gaze may be considered as a sign of hostility. Leaning forward slightly but not as much as to intrude into the speaker’s personal space may also show your interest. Using appropriate head and eye movement signals that you are listening actively. Assuming an open posture (not to cross your arms or legs, or put your arm across your body) reflects that you are receptive to other’s ideas. It is undesirable to fiddle with stationery, drawing irrelevant figures, tapping on the table or chair or speaking to other persons while listening as doing so will show that you are not paying attention or not respecting the speaker. For similar reasons, yawning should be avoided.

6.4 Questioning Techniques

- 6.4.1 At the beginning of an interview, its purpose should be explained to the interviewee, questions should not be threatening, interviewees should not be criticized nor be expected to know something outside of their responsibility, credits should be given when due, and they must be sincerely thanked at the end of the interview.
- 6.4.2 In general, indirect questions requiring a substantial response are more useful than direct questions which permit only yes or no answers.



- 6.4.3 Answering indirect questions requires a higher articulation skill and more knowledge. Sometimes, such questions may confuse the interviewee as to the intent of the interviewer. Posing indirect questions requires careful planning to ensure that the questions can be answered by the interviewee and that their purpose is clear.
- 6.4.4 Direct questions have a role in the questioning process, but they tend to evoke a defensive reaction in the recipient and may be interpreted as being critical or aggressive. They are best used to clarify particular points during the discussion.
- 6.4.5 The art of questioning also involves listening for what is not said as much as what is being said. Answers which appear superficial, incomplete or evasive warrant follow-up questions. Interviewers may admit that they do not understand and keep on questioning, rephrasing the question if necessary, until the answer is clear.
- 6.4.6 Hypothetical questions of the "what if" variety often help in understanding the candidate's management ability and in determining whether he/she can cater to all reasonable eventualities.



7 PROVISION FOR SAFEGUARDING THE IMPARTIALITY AND INDEPENDENCE OF EXAMINERS

7.1 Avoiding Conflict of Interest

On appointment, Examiners are required to sign a formal confidentiality agreement to commit themselves to complying with HKTIC regulations specified in PCSTP01 “Regulations for Certification Scheme of Testing Personnel” and those related to confidentiality, independence from commercial or other interests, acceptance of advantages and abiding by the Code of Ethics for Examiners. To protect them from potential conflict of interest, Examiners are required to inform Certification Body prior to an assessment of any existing, former or envisaged link or competitive position between them, their organizations and the candidate or organization/body to be assessed. They are completely free to decline invitation from the Certification Body to participate in any particular assessment and should not hesitate to exercise this right if their participation could be a source of inconvenience, a conflict of interest or an embarrassment to themselves, their employers or the organization to be assessed. They are also free to resign from being Examiners at any time.

7.2 Contact with the Candidate or Organization/body Being Assessed

HKTIC regulations require any contact between the candidate or organization/body being assessed be arranged through the Programme Secretariat.

7.3 Confidentiality

7.3.1 All information provided by candidate or organization/body in relation to their certification or approval and all information obtained in the course of, or in connection with an assessment shall be treated in strictest confidence. Assessment team members shall not disclose such information to any person other than member of the Certification Board or an officer of the Programme Secretariat.

7.3.2 All paper documents related to an assessment shall be either returned to the Programme Secretariat or disposed of in a proper manner (e.g. by shredding) promptly after the assessment process has been completed and all findings cleared. Electronic documents should be deleted permanently and in a way which does not permit recovery.



7.3.3 Should it be necessary to undertake further research or seek advice on a matter raised during the assessment, such investigation should be undertaken in a manner that will uphold HKTIC principles of confidentiality.

7.4 Undue Influence

7.4.1 While undue influence from candidate or organization/body on team members is considered unlikely, it is nevertheless possible that the candidate or staff members of an organization may attempt, through the use of corrupt or unethical practices, to influence a team member's evaluation of the candidate or organization/body and affect his or her recommendations. If such situation arises, the team member to whom the attempt is made shall immediately report full details of the incident to the Programme Secretariat who shall then take appropriate action.



8 CODE OF ETHICS FOR EXAMINERS

8.1 All Examiners abide by it and may use it to explain the rationale behind their assessment activities and techniques where necessary. All Examiners shall at all times:

- (a) be impartial, objective, positive, open and helpful;
- (b) avoid any situation that may give rise to real or perceived conflict of interest or compromise of impartiality;
- (c) not accept bribery of any form;
- (d) not discuss with or disclose to any third party any findings or confidential information relating to any assessment activity unless required by law or with written consent of both Chairperson of the Certification Body and the assessed candidate or organization/body;
- (e) not act in any way that may prejudice the reputation and interests of HKTIC and the candidate or organization/body being assessed;
- (f) only undertake assessments in which one is competent, be prepared to admit one's limitation but ready to exercise judgment within one's area of expertise;
- (g) prepare adequately, assess diligently, focus on significant issues and report findings truthfully and fairly;
- (h) treat all persons tactfully and with respect;
- (i) consider seriously the views of the assessed candidate or organization/body; and
- (j) cooperate fully with other members of the assessment team, if appropriate.



APPENDIX 1 LIST OF DOCUMENTS AND FORMS

<i>Code of Document</i>	<i>Title of Document</i>
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PCSTP01	Regulations for Professional Certification Scheme for Testing Personnel
PCSTP02	Approval of Training Organizations and Training Courses
PCSTP03	Authorization of Qualifying Body
PCSTP04	Syllabus of Training Courses
PCSTP05	Guides for Examiners
PCSTP06	Schedule of Fees
PCSTP07	Guidelines for Counting Continuing Professional Development Unit
CC01	Certification Handbook – Chemical Testing
CC02	Certification Handbook – Construction Materials Testing
CC03	Certification Handbook – Electrical Products Testing
CC04	Certification Handbook – Microbiological Testing
CC05	Certification Handbook – Textiles and Garments Testing
CC06	Certification Handbook – Toys and Hardlines Testing

<i>Code of Form</i>	<i>Title of Form</i>
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PCSTP Form01	Professional Certification Scheme for Testing Personnel Application Form
PCSTP Form02	Record Log of Continuing Professional Development Units
PCSTP Form03	Appeal Form
PCSTP Form04	Potential Examiner Information Form



PCSTP05

GUIDES FOR EXAMINERS

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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.

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