

## **HKQAA Certified Client Guide**

### **Congratulation and welcome onboard!**

Some experts on quality management system compare the functioning of a quality management system as something similar to a highly specialized piece of equipment. It is important to understand how your system shall be maintained so that you can get the most out of it.

HKQAA, as your certification partner, is pleased to prepare this guide, in addition to the Certification Guide, to help our certified clients to maintain their system in the most effective manner.

### **Training and Staff Development**

In order to assist clients in the understanding of the intent and application of the requirements of various standards as well as developing the needed skills in conducting an internal audit to facilitate continual improvement, HKQAA offers a variety of generic training courses with various management system focuses. The HKQAA training course schedule is regularly updated on our website ([www.hkqaa.org](http://www.hkqaa.org)).

For further enquiry on course outlines, schedule and upcoming events, please contact our Training Service Unit at Tel: (852) 2202-9111.

### **Surveillance Visit Planning**

Plan for the following Surveillance Visit would be discussed with the client during the Closing Meeting of the initial certification audit and each subsequent Surveillance Visit. Details discussed would be recorded in the relevant Audit Report.

However, it should be noted that the amount of man-days required for Surveillance Visit is pending upon, but not limited to, the business activity volume, as well as the maturity of the quality system. The total number of man-days may be increased if there is expansion in the number of active projects, or there are an inappropriate number of non-conformities identified during internal or external audits.

### **Change of Client Contact Information**

To maintain efficient communication between HKQAA and our certified client, it is essential that Key Personnel changes (i.e. Managing Director, Management Representative, Deputy Management Representative, Billing Contact) as well as other contact detail changes (i.e. Tel, Fax, E-mail) be communicated to HKQAA on the first instance. Our HKQAA Customer Service staff will ensure that all systems are updated.

### **Change of System Manual/Management System**

During the certification maintenance period, should there be revision to the system manual or in the management system, such that changes are affecting the quality of product/services to be delivered or the company's environmental or occupational health and safety performance, the certified client must inform HKQAA on the first instance. If there are just minor revisions and that the affects are not significant, immediate notification to HKQAA is not necessary. However, HKQAA Auditor would ratify the changes during the following Surveillance Visit.

### **Change of Certification Details**

Any changes affecting the presentation of the certificate can be communicated via **HKQAA/F263** - Request for Change of certification Details. The form can be obtained through contacting our customer service team or download from the HKQAA website.

#### **Change of Address**

Judgment has to be made on the nature of the change of address. If the change is just a small extension of an office, or a relocation of an office or warehouse, the certification site of the certificate may be revised without an Audit. However, if there is a major relocation of manufacturing facilities that involves substantial changes in personnel and/or organizational structure, an Extended Surveillance Visit may be required to verify the changes. If a visit is deemed necessary, certified client may determine to have the verification audit conducted as soon as possible, or together with the following Surveillance Visit (SV). In such case, the total number of SV man-days will need to be adjusted.

#### **Change of Company Name**

In line with accreditation requirements, HKQAA certificates are awarded to a legal entity. HKQAA certificates cannot be transferred from one legal entity to another. However, if there is a change in the company name, the legal documentation must be forwarded to HKQAA for verification and processing. An amended certificate will be issued and awarded upon the return of the obsolete certificate.

#### **Extension of Certification Scope**

Generally, any extension of certification scope and addition of certification sites would involve on site visit. This is to verify that the certified client has the capability and the system in place to deliver the additional scope activities (product or service or performance) intended and to provide products, processes and services at additional sites. Again, the certified client may determine if they want to conduct the scope extension verification audit independently or together with the following Surveillance Visit.

If the extension of scope involves new technology, approval for the scope extension will need to be sought from the HKQAA Certification Review Board. As such, longer lead-time may be involved.

#### **Reducing of Certification Scope**

Certified client can request to reduce the certification scope or delete certification sites. HKQAA will review the request and determine if on site visit is required based on the submitted information about the reduction.

During routine Surveillance Visit and Recertification Audit, when certified client is found to have persistently or seriously failed to meet the certification requirements for some parts of the scope of certification, HKQAA will reduce the scope of certification to exclude those parts not meeting the requirements.

### **Recertification**

All HKQAA certificates bear a 3 years validity period. Client will be contacted for the arrangement of the Recertification Audit 6 months prior to certificate expiry. The number of man-days to be used is about 2/3 of total initial Certification man-days.

The process of recertification is similar to the initial certification, however there is no need to go through the Certification Review Board. A renewed certificate with amended validity date will be issued and awarded upon the return of the obsolete certificate.

### **Certificate Suspension**

HKQAA certificates may be suspended due, but not limited to, for example, non-performance of quality system, delayed Surveillance Visit or receivables overdue. Certification right in the Use of Mark will be

withdrawn temporarily. To restore certification, the client has to go through a process similar to Recertification Audit. The certificate number however will remain unchanged.

### **Certificate Withdrawal**

A HKQAA certificate may be withdrawn if it has been suspended for more than six months. For voluntary withdrawal, client is required to submit written notice to HKQAA at least 4 months prior to the effective date. Certification right in the Use of Mark will be withdrawn. To restore certification, the client has to go through the application and certification process. A new Certificate Number will be assigned.

### **Publicly Accessible Information**

Enquiry to certification status of certified clients is allowable through written request. Information on certification details i.e. certification date, accreditation and certification scope will be provided on request. Change of certification status i.e. suspension or withdrawal will also be provided on request.

### **Customer Satisfaction – Compliant & Appeal Channel**

As a customer focused organization, we strive for customer satisfaction and continual improvement. All HKQAA certified clients or their stakeholders have the right to file complaint against HKQAA or its certified clients. Details of complaint shall be submitted in writing to the Corporate Compliance Branch by post, by Fax: 2202-9222, via e-mail [hkqaa@hkqaa.org](mailto:hkqaa@hkqaa.org) or through the return of the Post Audit Survey Questionnaire. All complaint cases will receive our full attention and follow up action.

**Communication with HKQAA – Customer Service Hotline (852) 2202-9000.... We are here to help!**