

**Specification of Competency Standards**  
**for the Testing, Inspection and Certification Industry**  
**Unit of Competency**

Functional Area - Certification Operations

Title	Develop audit programme
Code	105933L5
Range	This unit of competency (UoC) covers the abilities to develop audit programme for the full certification cycle and justify the audit activities required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s).
Level	5
Credit	4 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge of developing audit programme</p> <ul style="list-style-type: none"> <li>• Describe the process of the certification body on developing audit programme.</li> <li>• Analyse client information on its business sector, products, processes and organisation, and its management system.</li> <li>• Specify the requirements of specific management system standards / normative documents for certification.</li> <li>• Interpret the scope, technical and management requirements of relevant certification scheme.</li> </ul> <p>2. Develop audit programme</p> <ul style="list-style-type: none"> <li>• Assess the following information required for developing audit programme: <ul style="list-style-type: none"> <li>○ size and nature of the client organisation with consideration of the multi-site sampling (where applicable),</li> <li>○ scope, functionality, complexity and level of maturity of the management system(s) applied,</li> <li>○ results of any previous audits.</li> </ul> </li> <li>• Establish the full certification cycle including: <ul style="list-style-type: none"> <li>○ two-stage initial certification audit,</li> <li>○ surveillance audits,</li> <li>○ a recertification audit prior to expiration of certification.</li> </ul> </li> <li>• Formulate the audit activities required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s).</li> <li>• Establish procedures and criteria for reviewing and revising the audit programme.</li> <li>• Review and adjust the audit programme with justification by collecting sufficient and verifiable information on the client's certification status.</li> </ul> <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> <li>• Ensure the developed audit programme is implemented and reviewed effectively.</li> </ul>
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> <li>• develop the audit programme for the full certification cycle of the client's management system,</li> <li>• formulate the audit activities required to demonstrate that the client's management system fulfils the requirements for certification to the selected standard(s) or other normative document(s).</li> </ul>
Remark	<p>The relevant accreditation requirements involved in this UoC are as follows:</p> <ul style="list-style-type: none"> <li>• International Accreditation Forum (IAF) <ul style="list-style-type: none"> <li>○ IAF MD 5: Mandatory Document for Duration of QMS and EMS Audits</li> </ul> </li> </ul>

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	<ul style="list-style-type: none"><li>○ IAF MD 1: Mandatory Document for Certification of Multiple Sites Based on Sampling</li></ul>
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