

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

Functional Area - Certification Operations

Title	Formulate certification / surveillance audit plan
Code	105934L5
Range	This unit of competency (UoC) covers the abilities to formulate certification / surveillance audit plan to achieve the audit objectives. This UoC also contributes to plan the audit processes within the specified timeframes so as to facilitate time management and confirm audit results.
Level	5
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge of planning certification / surveillance audit</p> <ul style="list-style-type: none"> • Review the management system requirements of the organisation to be audited. • Analyse the applicable legal and other requirements relevant to the activities and products of the organisation to be audited. • Determine audit objectives and establish audit scope and criteria for each audit identified in the audit programme. • Identify responsibilities, competencies and qualifications of audit team personnel required according to the scope of audit. • Review previous audit results and the current status of management system of the certified organisation for surveillance audit. <p>2. Formulate certification / surveillance audit plan</p> <ul style="list-style-type: none"> • Justify the criteria for selecting audit team members and technical expert (including translator) if required. • Schedule the activities to be conducted in the audit plan. • Arrange the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate. • Assign the responsibility of each audit team member for conducting the individual audit. • Assess the audit procedures where audit methods, means and resources, including logistics like travelling are adequately stated. • State the proposed client meeting arrangement, including opening and closing meetings. • Establish procedures for monitoring the progress of the audit plan execution. <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> • Ensure the audit rundown is appropriate and reasonable where confidentiality, information security and health and safety are addressed.
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • formulate the certification / surveillance audit plan in a timely manner before the commencement of audit, • evaluate and justify the duration, competencies of audit team, scope and criteria to achieve the objectives of the audit, • manage the audit plan by considering the needs of client and audit team members.
Remark	