

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

Functional Area - Certification Operations

Title	Perform documentation review for initial certification of management system
Code	105937L5
Range	This unit of competency (UoC) covers the abilities to perform documentation review for initial certification of management system of the client organisation by critically examining the management system and documents/information provided by the client.
Level	5
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge of initial certification audit of management system</p> <ul style="list-style-type: none"> <li>• Command audit principles, practices and techniques.</li> <li>• Describe the specific management system standard(s) or normative document(s) that the client is to be certified.</li> <li>• Describe the process of the certification body for performing documentation review for stage one audit of initial certification.</li> <li>• Gather a range of client information on its business sector, products, processes and organisation, and its management system.</li> </ul> <p>2. Perform documentation review for initial certification of management system</p> <ul style="list-style-type: none"> <li>• Review the client's management system documentation.</li> <li>• Assess the location and site-specific conditions of the client to determine the preparedness for the multi-stage audit of initial certification, including stage two audit.</li> <li>• Review the status of client and extent of understanding requirements of the standard.</li> <li>• Analyse necessary information about the scope of the management system, processes and location of the client, and related statutory and regulatory aspects and compliance.</li> <li>• Review the allocation of resources for stage two audit.</li> <li>• Plan for the stage two audit by reviewing the management system and site operations of the client.</li> <li>• Verify the internal audits and management review of the client are planned and performed regularly.</li> <li>• Communicate audit findings to the client and confirm if the audit team can proceed to the stage two of the on-site audit for initial certification.</li> </ul> <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> <li>• Demonstrate competent audit skills and effective communication skills.</li> </ul>
Assessment Criteria	<p>The integrated outcome requirement of this UoC is the ability to:</p> <ul style="list-style-type: none"> <li>• perform documentation review for initial certification audit of client's management system in a smooth and effective manner by critically examining documents/information of client's management system.</li> </ul>
Remark	