

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

Functional Area - Certification Operations

Title	Prepare work documents for conducting audit
Code	105938L4
Range	This unit of competency (UoC) covers the abilities to prepare work documents such as audit guidelines and boundaries for conducting audit to ensure sufficient audit depth is achieved in a timely manner.
Level	4
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge of work documents required for certification audit</p> <ul style="list-style-type: none"> <li>• Identify the content / type of information to be collected during the audit.</li> <li>• Collect and review the information relevant to audit assignments and work document preparation for recoding audit evidence.</li> <li>• Describe the audit trail to support the audit process and address the requirements as defined by the scope of the audit in compliance with the audit requirements.</li> </ul> <p>2. Prepare work documents</p> <ul style="list-style-type: none"> <li>• Prepare audit work documents such as checklists, audit sampling plans, forms for recording information.</li> <li>• State the details and the quantities of information to be collected as audit evidence to support audit results.</li> <li>• Provide an outline for recording both positive findings and nonconformities.</li> <li>• Provide an outline of audit documents for driving post-audit action, e.g. cause analysis, correction and corrective action by the organisation being audited, responsible parties for improvement processes.</li> <li>• Provide a guideline for documenting the audit evidence of potential nonconformities.</li> </ul> <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> <li>• Exercise effective time management to prepare work documents for conducting audit.</li> </ul>
Assessment Criteria	<p>The integrated outcome requirement of this UoC is the ability to:</p> <ul style="list-style-type: none"> <li>• prepare work documents for conducting audit efficiently.</li> </ul>
Remark	