

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

Functional Area - Certification Quality Management

Title	Conduct internal audit of certification services
Code	105954L5
Range	This unit of competency (UoC) covers the abilities to conduct an internal audit of the quality system of a certification body and generate audit findings.
Level	5
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Possess knowledge of conducting an internal audit in the certification body <ul style="list-style-type: none"> • Determine the scope and detailed requirements of the internal audit. • Establish procedures for conducting internal audit to verify the fulfilment of relevant international standards and accreditation requirements, as well as the internal guideline and scheme specification. • Devise audit programme and audit plan which takes into consideration of the importance of the process and areas to be audited, as well as the results of previous audits. • Allocate audit resources with knowledge of certification, auditing and requirements of the applied international standards. • Develop audit checklist and auditing documents for collection of objective evidence within scope. • Apply the concept of horizontal, vertical and witness audits in conducting internal audit. 2. Conduct internal audit in the certification body <ul style="list-style-type: none"> • Examine product(s) / scheme(s) to be included in the audit programme and apply the sample methodology, including the sampling method to be deployed. • Collect and evaluate objective and supporting evidence to generate audit findings summarising conformities and detailing nonconformities. • Collaborate with relevant personnel to maximise continuous improvement and ownership of improvement. • Maintain audit documents and accurate records as per the defined retention policy. • Document findings from the audit process in the required format. 3. Exhibit professionalism <ul style="list-style-type: none"> • Ensure the internal audit is conducted timely and effectively. • Demonstrate unbiased judgement and impartiality with good communication skill and strong analytical power.
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • conduct the internal audit to collect objective and supporting evidence, • generate, present and document audit findings summarising conformities and detailing nonconformities.
Remark	<p>The relevant international standards involved in this UoC are as follows:</p> <ul style="list-style-type: none"> • ISO/IEC 17021 Conformity Assessment – Requirements for Bodies Providing Audit and Certification of Management Systems • ISO 9001 Quality Management Systems • ISO 19011 Guidelines for Auditing Management Systems • International Accreditation Forum (IAF) Mandatory Documents (MDs)