

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

Functional Area - Certification Operations

Title	Control certification documents and records
Code	105989L5
Range	This unit of competency (UoC) covers the abilities to control and maintain a range of auditing documents and records to be readily retrievable in the certification body according to relevant international standard and/or accreditation regulation.
Level	5
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge of document control system in a certification body</p> <ul style="list-style-type: none"> <li>• Interpret the requirements of control of certification documents and control of audit records in relevant international standard and/or accreditation scheme.</li> <li>• Describe the procedures to control both internal and external documents in the certification body.</li> <li>• Determine a range of documents to be controlled in the certification body.</li> <li>• Describe the procedures for identification, storage, protection, retrieval, retention time and disposition of records.</li> <li>• Describe the procedures to retain audit records with consideration of contractual and legal obligations as well as confidentiality arrangements.</li> </ul> <p>2. Control certification documents and records</p> <ul style="list-style-type: none"> <li>• Review and, where necessary, revise documents periodically to ensure continuing suitability and compliance with applicable requirements and identify the changes and the current revision status of documents.</li> <li>• Identify documents of external origin and control their distribution.</li> <li>• Remove invalid or obsolete documents from all points of issue or use.</li> <li>• Store and retain audit records in a way that they are readily retrievable in the certification body.</li> <li>• Prepare guidelines to provide a mechanism / channel to confirm the validity of a given certification, on request from interested parties, including: <ul style="list-style-type: none"> <li>○ an updated publicly accessible client directory of valid certification,</li> <li>○ explanation of handling security information which should be made available upon request,</li> <li>○ justification if there is any security reason, information disclosed is limited.</li> </ul> </li> </ul> <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> <li>• Ensure controlled documents are managed effectively in the certification body.</li> <li>• Ensure controlled audit records are retained securely and confidentially.</li> </ul>
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> <li>• control certification documents to ensure continuing suitability and compliance with applicable requirements,</li> <li>• control and retain audit records according to the established procedures and confidentiality arrangements.</li> </ul>
Remark	<p>The relevant international standard and laboratory accreditation scheme involved in this UoC are as follows:</p> <ul style="list-style-type: none"> <li>• ISO/IEC 17021 Conformity Assessment – Requirements for Bodies Providing Audit and Certification of Management Systems</li> </ul>

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	<ul style="list-style-type: none"><li>• ISO/IEC 17065 Conformity Assessment – Requirements for Bodies Certifying Products, Processes and Services</li><li>• HKCAS 003 Technical Criteria for Accreditation of Management System Certification Bodies</li><li>• HKCAS 023 Technical Criteria for Accreditation of Product Certification Bodies</li></ul>
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