

## SECTION A – ANSWER ALL QUESTIONS

### QUESTION 1

Briefly outline the main steps in a procedure for the preparation, conduct and reporting for internal auditing.

(20 marks)

### QUESTION 2

As a Quality Manager who has just been through an audit, explain:

(a) how you would deal with any non-conformances found

(14 marks)

(b) what the term vertical audit means

(3 marks)

(c) what the term horizontal audit means.

(3 marks)

### QUESTION 3

ISO 9001 (8.2.2b) requires an organisation to conduct internal audits at planned intervals to determine if the quality management system is effectively implemented and maintained.

(a) Explain what this requirement means.

(8 marks)

(b) Explain why this is necessary.

(6 marks)

(c) List three ways in which this requirement can be met.

(6 marks)

## SECTION B – ANSWER TWO QUESTIONS ONLY

### QUESTION 4

Audits and continual improvement are interlinked for the purposes of an effective QMS compliant to ISO 9001.

(a) Explain the purpose of an audit.

(5 marks)

(b) Explain what continual improvement is.

(5 marks)

(c) Briefly describe how the audit process links to continual improvement.

(10 marks)

### QUESTION 5

(a) Describe what an auditor wants to achieve in the opening meeting of a third party audit.

(8 marks)

(b) Describe and explain the following types of quality audits:

(i) independent audit

(ii) vendor audit.

(10 marks)

(c) Which ISO standard relates to internal and external audits?

(2 marks)

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## QUESTION 6

- (a) Explain the importance of undertaking internal audit. (6 marks)
- (b) Describe how you would conduct an internal audit. (10 marks)
- (c) Describe **FOUR** sources of evidence you would review as part of an internal audit. (4 marks)

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## QUESTION 7

One requirement of ISO 9001 is the undertaking of internal audits.

- (a) Explain the meaning of the following audits and who would perform them:  
(i) first-party audits  
(ii) third-party audits. (4 marks)
- (b) You have been tasked with internal audit planning for your organisation.  
  
Briefly describe how you would plan, resource, evaluate and ensure that all requirements of the ISO 9001 standard are met. (16 marks)



Chartered Quality Institute

CQI Examinations January 2012

## Unit 306

### Management Systems Audit (Level 3)

27 January 2012

Time: 9.40 – 12.10  
(2½ hours)

#### Notes for candidates

At 9.30, you have 10 minutes preparation time before the exam begins.  
Your exam booklet will be handed out at 9.40.

Attempt **ALL THREE questions** in **Section A**. Attempt **any TWO** questions from **Section B**.  
If you attempt three or more questions in Section B, only the first two will be marked.

Questions may be attempted in any order. All questions carry equal marks.  
The maximum marks for each part of each question are shown.

Begin each question at the top of a fresh side of paper.  
Do not write in the margins.

If you use any additional sheets (graph paper or additional answer booklet) please indicate your CQI student number, examination name and date on each sheet.