

QUESTION 6

As an internal auditor in your company you audit the Purchasing Department and in particular records for incoming material compliance by the supply chain.

- a) Describe **three** particular records for incoming material compliance that you would choose when auditing the Purchasing Department, explaining the importance of each. **(9 marks)**
- b) Some of the records have been found to be missing during the Purchasing Department Audit. As part of the internal audit report write a non-conformity statement describing your findings and the nonconformity against Control of Records. **(3 marks)**
- c) In order to address the non-conformity identified in Part (b), describe **one** corrective and **one** preventive action that you would find acceptable together with timescales. **(8 marks)**

QUESTION 7

Paragraph 8.2.2 of ISO 9001 requires the organisation to conduct internal audits at planned intervals.

- a) Describe **two** of the challenges that a company faces in order to comply with this requirement and identify one remedial action for each challenge. **(12 marks)**
- b) Describe **two** actions that an auditor would take when raising a non-conformity during an internal audit. **(8 marks)**



Chartered Quality Institute

CQI Examinations January 2015

Unit 306

Management Systems Audit (Level 3)

21 January 2015

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 (i.e. graph paper or additional answer booklet) please write your CQI student number, examination name and date on each sheet.

SECTION A – ANSWER ALL QUESTIONS

QUESTION 1

Different types of audit serve different purposes when auditing Management Systems.

a) Explain the following types of audit::

- (i) Product audit
- (ii) Process audit
- (iii) Horizontal audit

(12 marks)

b) Discuss **two** similarities and **two** differences between internal and external audits..

(8 marks)

QUESTION 2

You are the Lead Auditor of a Certification audit. You are holding the opening meeting with the company's management team.

a) Propose an agenda with **four** items for the opening meeting.

(4 marks)

b) During the audit one of the audit team members encounters confrontation by one of the employees of the company. Describe **four** actions that you would take to resolve the situation as a Lead Auditor.

(8 marks)

c) Describe **two** common benefits that all types of audit provide to stakeholders.

(4 marks)

d) Identify and explain **two** differences between a 2nd party and 3rd party audit.

(4 marks)

QUESTION 3

It is a requirement of ISO 9001 that an audit programme consisting of audit activities shall be planned taking into consideration the organisation's processes.

a) Describe **four** typical audit activities.

(12 marks)

b) Discuss **two** aims that an effective audit programme should achieve.

(8 marks)

SECTION B – ANSWER TWO QUESTIONS ONLY

QUESTION 4

Management review should include opportunities for improvement and the need for changes to the quality management system. The audit programme has generated a list of non-conformities that need to be addressed, which provide input to the Management Review.

a) Apart from "results from audits" identify and explain **three** activities that would appear on a Management Review agenda and how they help the organisation achieve continuous improvement.

(12 marks)

b) Identify and explain **two** ways of presenting "results of audits" to Top Management as part of the management review.

(8 marks)

QUESTION 5

Audits play an important role in management systems, whether they are internal or external to the organisation.

a) Provide a definition of an audit.

(3 marks)

b) Explain any **three** roles of personnel potentially involved in an audit.

(9 marks)

c) The ISO 19011 describes six principles for auditing. Provide a description for **two** of these principles.

(8 marks)