

QUESTION 5

An audit is defined as being 'a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled'.

- (a) What is the purpose of an internal audit?
(8 marks)
- (b) What are the **four** primary objectives of an internal audit?
(4 marks)
- (c) Briefly explain **four** benefits that an organisation can gain from an effective internal audit process.
(8 marks)

QUESTION 6

ISO 9001 (8.2.2) requires planning of audits. The standard requires 'the audit programme to be planned taking into consideration the status and importance of the processes and areas to be audited as well as the results of previous audits'.

- (a) Describe **four** types of audit an organisation must consider when producing an internal quality audit programme.
(12 marks)
- (b) Explain why an audit programme would ideally, include more than one type of audit.
(8 marks)

QUESTION 7

The organisation has just undergone a third-party audit which has resulted in non-conformities being identified. In your capacity as Quality Manager you have to ensure that these are addressed within the quality management system.

Explain what actions you would take immediately after the findings have been given in order to deal with the non-conformities identified.

(20 marks)



Chartered Quality Institute

CQI Examinations June 2014

Unit 306

Management Systems Audit (Level 3)

25 June 2014

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

Within ISO 9001, Clause 8.2.2 requires the organisation to conduct internal audits at planned intervals to determine whether the quality management system conforms to the requirements of this standard.

- (a) Explain **two** reasons why this is required in relation to the quality management system.
(6 marks)
- (b) Identify **five** criteria that a Quality Manager should take into account when planning the audit programme.
(10 marks)
- (c) List **two** management responsibilities in relation to the corrective action.
(4 marks)

QUESTION 2

Within ISO 9001, Clauses 8.5.2 and 8.5.3 require the organisation to take action to ensure corrective and preventive action take place.

- (a) Provide a definition for both corrective and preventive action
(5 marks)
- (b) Some common requirements exist between the two procedures – list **five** requirements that should be included in a documented procedure for corrective and preventive action.
(15marks)

QUESTION 3

Quality audits are performed to verify conformance to standards through review of objective evidence.

- (a) Evaluate the differences in auditing a multi-site certification against a stand-alone certification to ensure compliance with first-party audits.
(14 marks)
- (b) As an external or third-party lead auditor; explain how you would manage auditing resources in relation to the required manpower.
(6 marks)

SECTION B – ANSWER TWO QUESTIONS ONLY

QUESTION 4

Clause 8.2.2 requires an organisation to establish a documented procedure to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

Provide the contents of a procedure that includes the points required above.
(20 marks)