

## QUESTION 5

You are the lead auditor in an audit. The organisation to be audited is in a specialist sector and has multiple sites across the U.K. Some of the sites operate two shifts per day.

- (a) List and describe **five** selection criteria for structuring your audit team. (10 marks)
- (b) List and describe **two** auditing methods that are used during an audit and provide **one** example for each method selected. (10 marks)

## QUESTION 6

You are the quality manager of your organisation. The organisation is being audited by one of your major clients. During the audit, a non-conformity is raised against ISO 9001 paragraph 7.2.1, determination of requirements related to the product/service. The objective evidence during the audit suggests that one of the customer specific requirements was not addressed.

- (a) Describe a corrective action, with the appropriate timeframe, that you would take in order to address the non-conformity and explain **two** follow up activities taken to verify the effectiveness of the actions. (10 marks)
- (b) Describe a preventive action, with the appropriate timeframe, that you would take in order to prevent the non-conformity in the future and explain **two** follow up activities taken to verify the effectiveness of the actions. (10 marks)

## QUESTION 7

An audit programme consists of audits planned for a period of time with a specific purpose.

- (a) List and describe **five** areas that need to be taken into consideration when creating the audit programme. (10 marks)
- (b) List and describe **five** challenges that organisations would face in order to deliver the audit programme in the allocated period. (10 marks)



Chartered Quality Institute

CQI Examinations June 2015

## Unit 306

### Management Systems Audit (Level 3)

24 June 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

ISO 19011 defines an audit as a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.

- (a) List and describe **two** differences between 1st and 3rd party audits. (4 marks)
- (b) List and describe **two** types of audit evidence that can be obtained to evaluate audit criteria. Provide **one** example for each. (8 marks)
- (c) List and describe **two** different types of audit requirements that can be used as audit criteria. Provide **one** example for each. (8 marks)

### QUESTION 2

Audits are based on a number of principles as mentioned in ISO 19011.

- (a) Based on the audit principles describe **four** characteristics that you would expect of an auditor. (8 marks)
- (b) An audit should be based on evidence. Describe **three** examples of actions that an auditor takes during an audit in order to base their decision on evidence. (6 marks)
- (c) Explain **three** benefits to stakeholders from an audit based on the six principles of auditing. (6 marks)

### QUESTION 3

ISO 9001 requires the organisation to apply suitable methods for monitoring and measurement of the quality management system.

- (a) Describe **two** ways in which management system audits aid the organisation in complying with the above requirement. (8 marks)
- (b) List and discuss **three** benefits of using the audit results in management review. (12 marks)

## SECTION B – ANSWER TWO QUESTIONS ONLY

### QUESTION 4

Customers and third party certification bodies use the management system standards to determine the capability of organisations to satisfy certain requirements.

- (a) List and describe **five** common elements in the quality, environmental and occupational health and safety management system standards. (10 marks)
- (b) List and describe **two** benefits that certification of a management system provides to an organisation. (6 marks)
- (c) Briefly describe **two** different sources of evidence that could be reviewed as a part of a third party audit. (4 marks)