

QUESTION 5

ISO 9001 requires the organisation to actively seek out and realise improvement opportunities. Audits provide a source of improvement opportunities for the organisation.

(a) Describe **five** opportunities for improvement that audits provide for the organisation.

(15 marks)

(b) In order to realise the five improvement opportunities mentioned in (a), organisations will face challenges. Describe **one** challenge for each of these five improvement opportunities.

(10 marks)



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CQI Examinations June 2016

Unit 306

Management Systems Audit (Level 3)

22 June 2016

Time: 9.40 – 12.10
(2½ hours)

At 9:30, you will have 10 minutes preparation time before the exam begins.
Your exam script will be handed out at 9:40.

Notes for candidates

Attempt **BOTH** questions in **Section A**.

Attempt **Any TWO** questions from **Section B**.

If you attempt all three 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.

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.

When auditing management systems different types of audit serve different purposes.

- (a) Discuss **two** similarities and **two** differences between internal and external audits. (8 marks)
- (b) Explain the following types of audit: (12 marks)
- (i) Product audit
 - (ii) Process audit
 - (iii) Horizontal audit.
- (c) Describe **one** example where, as an Internal Auditor, you would choose to conduct a product audit and explain the reasons for your choice. (5 marks)

QUESTION 2

An audit programme is a programme of one or more 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 an audit programme. (10 marks)
- (b) List and describe **five** challenges organisations would face in order to deliver an audit programme in the allocated period of time. Propose an action plan in order to overcome **one** of the challenges described. (15 marks)

SECTION B – ANSWER TWO QUESTIONS ONLY

QUESTION 3

You are the Lead Auditor in a certification body audit. The auditors in your team have shared their findings throughout the day and there are three non-conformities found on document control in different parts of the business.

- (a) Describe **three** actions that you would take in preparation for your final audit report. (15 marks)
- (b) Following the audit, describe **five** actions that you would take as the Quality Manager within this organisation. (10 marks)

QUESTION 4

An audit is 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.

You are the Lead Auditor of an organisation and are structuring your audit team:

- (a) List and describe **three** principles of auditing and describe the auditor selection criteria for structuring your audit team based on these three principles. (15 marks)
- (b) List and describe **two** auditing methods used during an audit and provide **one** example for each method selected. (10 marks)