

## QUESTION 6

A quality manager has certain responsibilities when planning for and following up after second- and third-party audits.

- a) Explain how you would deal with any non-conformances found during an audit.  
(14 marks)
- b) Explain what the term 'vertical audit' means.  
(3 marks)
- c) Explain what the term 'horizontal audit' means.  
(3 marks)

## QUESTION 7

An effective internal communication process contributes to the success of any organisation's quality management system. Problems that occur with an organisation's quality management system can often be as a result of poor communication.

- a) List the **TWO** main components of the requirements of ISO 9001 clause 5.5.3 that have to be verified.  
(4marks)
- b) List **FOUR** aspects that an auditor may need to observe when searching for evidence of an effective communication processes.  
(8marks)
- c) List **FOUR** methods of communicating information within an organisation that can be observed during an audit.  
(8marks)



Chartered Quality Institute

CQI Examinations January 2013

## Unit 306

### Management Systems Audit (Level 3)

23 January 2013

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

The standard ISO 9001 (8.2.2a) requires the organisation to conduct audits at planned intervals to determine whether the quality management system conforms to the International Standard.

- a) Explain what is meant by this requirement. (5 marks)
- b) Explain why this process is necessary to an organisation. (5 marks)
- c) Discuss how compliance with this requirement is demonstrated by the organisation. (10 marks)

### QUESTION 2

- a) List **FOUR** reasons why performing internal audits is important to an organisation. (4 marks)
- b) Describe the key aspects of an auditor's role during an internal audit. (12 marks)
- c) Describe **FOUR** different sources of evidence you would review as part of an internal audit. (4 marks)

### QUESTION 3

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

- a) Evaluate the differences when carrying out first-party auditing of a multi-site certification and standalone certification to ensure compliance. (14 marks)
- a) As an external lead auditor, explain how you would manage auditing resources. (6 marks)

## SECTION B – ANSWER TWO QUESTIONS ONLY

### QUESTION 4

Briefly outline the main steps in a procedure for internal auditing covering the following points:

- a) Preparation (5 marks)
- b) Conducting the audit (10 marks)
- c) Reporting and following up on corrective actions (5 marks)

### QUESTION 5

Organisations seeking a suitable, adequate, and effective quality management system (QMS) need to conduct internal audits to ensure that the QMS functions as intended.

- a) Explain what is meant by clause 8.2.2 of the ISO 9001 standard that states: "An audit programme shall 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". (14 marks)
- b) Explain why internal auditing is considered to be an effective tool. (6 marks)