

QUESTION 5

Organisations seeking a suitable, adequate, and effective quality management system need to plan internal audits, to ensure that the QMS functions are as intended, and identify weak links in the system as well as potential opportunities for improvement.

- a) ISO 9001 Clause 8.2.2 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. Explain what this requirement means with examples of the factors that influence them. **(12 marks)**
- b) Top management should ensure the establishment of an effective and efficient internal audit process to assess the strengths and weaknesses of the quality management system. Briefly explain how an organisation can demonstrate that the internal audit process is effective and efficient. **(8 marks)**

QUESTION 6

Auditors should involve top management in the audit, i.e. invite them to opening and closing meetings, allow sufficient time in the audit plan for interviewing top managers, discuss audit findings directly with them, seek evidence of their commitment, etc. It is important to change the focus of attention from just the quality manager to the top management of the organisation. The auditor should consider top management activities to be processes, and should audit them accordingly.

- a) Provide **three** examples of top management processes. **(6 marks)**
- b) Common methods of evaluating top management commitment are interviews and collecting and corroborating evidence. Explain what the purpose of the interviews is and what corroborating evidence an auditor would gather. **(14 marks)**

QUESTION 7

An effective internal communication process contributes to the success of any organisation's quality management system. Conversely, many problems that occur with an organisation's quality management system can often be traced back to poor communication.

- a) There are a number of requirements within ISO 9001 where top management has a responsibility to communicate with people in the organisation. Explain **four** requirements top management should communicate to their employees. **(8 marks)**
- b) Briefly explain **four** ways in which communication between management and staff may be observed by an auditor during the audit and how they can judge the effectiveness of these. **(12 marks)**



Chartered Quality Institute

CQI Examinations January 2014

Unit 306

Management Systems Audit (Level 3)

22 January 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 Clause 8.2.2 the ISO 9001 standard requires the management responsible for the area audited to ensure that any necessary actions and corrective actions are taken without undue delay to eliminate the detected nonconformities and their causes. Therefore the auditor must have an understanding of the different types of nonconformities.

For both minor and major nonconformities:

- a) Briefly describe what each type of nonconformity is. **(6 marks)**

- b) Give **two** examples for each type of nonconformity to support the definitions provided. **(8 marks)**

- c) Discuss the implications to the organisation for each type of nonconformity. **(6 marks)**

QUESTION 2

Within ISO 9001, Clause 8.2.2a requires the organisation to conduct internal audits at planned intervals to determine whether the quality management system conforms to the requirements of this standard. The argument for this requirement is that all organisations should have control over their own operations and not rely on external certification bodies to detect system nonconformities.

Consider Clause 4 requirements which include implementation, maintenance, documentation and continual improvement of the QMS, interaction between processes, effective planning, operation and control of processes and control of records.

Describe what evidence can be gathered during an internal audit to demonstrate compliance with Clause 4 requirements. **(20 marks)**

QUESTION 3

Preparing for the internal audit is the most critical phase of the audit process. To develop the confidence needed to ensure that the process will be thoroughly evaluated, auditors must know in advance what evidence they will be looking for.

- a) A lead auditor will plan an audit methodically prior to undertaking it. Describe the steps that will form part of this process. **(12 marks)**

- b) There are four basic ways to audit an organisation. Describe **one** advantage and **one** disadvantage for each of the four methods. **(8 marks)**

SECTION B – ANSWER TWO QUESTIONS ONLY

QUESTION 4

The value that can be provided to an organisation can be enhanced or diminished by the review that an auditor conducts of the organisation's response to nonconformity, as well as by the "close-out" process that is applied.

- a) Explain how an internal auditor will add value to the organisation **(6 marks)**

- b) Define what is meant by the terms corrective action and preventive action **(4 marks)**

- c) As nonconformities tend to be individual in their nature, a variety of methods or activities may be used to close them out. Describe **two** methods by which nonconformities can be closed out. **(10 marks)**