

(b) The angry, resentful auditee

(5 marks)

(c) The auditee who is excessively proud of their work

(5 marks)

(d) The easily distracted auditee.

(5 marks)

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## QUESTION 7

The internal auditor must have a good understanding of the organization's documentation that relates to the process being audited.

(a) List the **THREE** 'common' tiers of documentation and how they relate to each other.

(8 marks)

(b) During the audit the auditor may choose to highlight aspects/issues in an effective checklist by using flags, points to verify, responsibilities and authorizations and records.

Explain what these are and how they help the auditor.

(12 marks)



Chartered Quality Institute

CQI Examinations June 2011

## Unit 306

### Management Systems Audit (Level 3)

24 June 2011

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.

## SECTION A – ANSWER ALL QUESTIONS

### QUESTION 1

- (a) What are the objectives and purpose of an internal audit. (14 marks)
- (b) Audit processes that meet the requirements of ISO 9001, but achieve little else, have common issues. List **THREE** of the issues. (6 marks)

### QUESTION 2

The ISO 9000 standard requires an organization 'to conduct internal audits at planned intervals to demonstrate whether the quality management system conforms to the planned arrangements.' (clause 7.1).

- Demonstrate this requirement by devising an audit schedule or audit plan, detailing timescales and how you would ensure all aspects of the standard are covered. (20 marks)

### QUESTION 3

ISO 9001 requires follow-up audit action. As an auditor what corrective actions do you consider are required for the following **TWO** scenarios and how is effectiveness of the action verified:

- (a) Of the five customer specifications reviewed in the quality control laboratory, there was at least one revision out of date and none were approved by the customer manager as required in the procedure. (10 marks)
- (b) There is no defined process to review customer satisfaction data and initiate corrective action reports where indicated. Responsibilities relative to this review have not been defined. (10 marks)

## SECTION B – ANSWER TWO QUESTIONS ONLY

### QUESTION 4

A checklist is a list of questions or evidence that can be used during an audit to verify the effectiveness of a process, conformance to ISO 9001 and conformance to the basic requirements of the organization's documented quality management system.

- (a) Provide **FIVE** questions that you would include in a checklist for auditing design and development control. (10 marks)
- (b) List the advantages and disadvantages of using a checklist during an audit. (10 marks)

### QUESTION 5

ISO 9001 (8.2.2a) requires the organization to conduct audits at planned intervals to determine whether the quality management system conforms to the requirements of this international standard.

- Provide a diagram that demonstrates the internal audit model. (20 marks)

### QUESTION 6

If the proper environment has been adequately established, difficult candidates are rarely a problem during an internal audit. However, occasionally auditors find themselves having to interview an auditee who dislikes or resents the audit process.

- Discuss how you would deal with the following types of difficult auditees:
- (a) The nervous, anxious auditee (5 marks)