

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.1. A quality assessment, when compared to a quality audit, is:

- a. The same thing
- b. Performed only during the execution contract phase
- c. Less formal
- d. Broader in scope

**Solution:** The format for assessment auditing is less formal than for systems auditing. Assessment audits are normally more limited in scope. They require less preparation and also less time to perform. They can both be performed during the contracting or execution phase.

**Answer c is correct.**

**Reference:** *CQA Primer*, Section II - 21.

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2.2. The purpose of a quality auditing program is to:

- I. Provide management objective feedback
  - II. Identify problems early
  - III. Determine if written procedures are being utilized
  - IV. Help prevent unfit products from reaching the customer
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- a. I and III only
  - b. II and III only
  - c. I, III and IV only
  - d. I, II, III and IV

**Solution:** The audit program is the management defined structure of objectives and methods for the organizational audit system. All item choices are correct.

- I. The quality audit report is necessary to keep management informed.
- II. Problems may be evident from noncompliance or discovery of a quality system need. Early detection helps to prevent problems from developing or escalating.
- III. Verification is needed to assure compliance - that the required procedure is actually in use.
- IV. The quality audit aids in uncovering system/process failures, and may initiate improvement to prevent noncompliance.

**Answer d is correct.**

**Reference:** *CQA Primer*, Section II - 12/13.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.3. Which of the following is **NOT** normally a system audit?

- a. A quality audit
- b. A limited scope audit
- c. A pre-award survey
- d. A management audit

Solution: The key phrase in this question is “NOT normally.” “More limited in scope” is a reference to an assessment audit. Answer **b** is descriptive of an audit with a more narrow range of investigation. Quality audits, pre-award surveys, and management audits may all be systems audits (or a portion of a system audit).

**Answer b is correct.**

Reference: *CQA Primer*, Section II - 16 and 23.

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2.4. An extrinsic audit can focus on which two of the following?

- I. Your company's suppliers
  - II. An internal compliance assessment
  - III. An assessment of your customers
  - IV. Your company's quality system evaluated by others
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- a. I and IV only
  - b. I and II only
  - c. II and IV only
  - d. III and IV only

Solution: The term “extrinsic” refers to the audit from the auditee's point of view. This is an audit which is conducted by individuals other than the internal audit group. Your company may be the focus of an extrinsic audit, and your suppliers may look upon an audit (from their viewpoint) as an extrinsic audit.

**Answer a is correct.**

Reference: *CQA Primer*, Section II - 16 and 23.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

- 2.5. Process audits are normally:
- I. Less extensive than system audits
  - II. Performed internally or externally
  - III. Less extensive than product audits
- a. I, II and III
  - b. I only
  - c. I and III only
  - d. I and II only

Solution: Process audits often include some product auditing. System audits usually include process auditing and may also include product auditing. Process audits may be performed within your own company (internal or in-house) or at the supplier's facility (external). Therefore, statements **I** and **II** are correct.

The process audit is more extensive than a product audit. The process audit may concentrate on one or more processes. Thus, answer **III** is incorrect.

**Answer d is correct.**

Reference: *CQA Primer*, Section II - 16/18.

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- 2.6. The major advantage of a product audit compared to a system or process audit is:
- a. It's cheaper to perform
  - b. It can be performed away from the supplier's plant
  - c. It focuses attention on the final product or service
  - d. It normally does not require a final report

Solution: Several of the answers could be correct, but this question allows only the "major advantage" to be given as the "best correct" answer. The biggest advantage of the product audit is that it focuses on the resulting product or service from the customer's point of view. Answer **d** is incorrect. Answers **a** and **b** may be correct (under certain conditions).

**Answer c is correct.**

Reference: *CQA Primer*, Section II - 16/18.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.7. Most in-house audits should be conducted by:

- a. Outside third party consultants
- b. Customer auditors
- c. Company auditors from the audited departments
- d. Independent company auditors

Solution: The key phrase in the question is “most in-house audits.”

- a. Most internal audits are not conducted by third party auditors. This would be an added expense which is not usually necessary.
- b. This answer refers to a direct supplier audit, which is an external audit. A producer should perform their own internal audits.
- c. Auditors from the audited department would not be independent. They are too close to the problems.
- d. Independent company auditors is a very acceptable answer.

**Answer d is correct.**

Reference: *CQA Primer*, Section II - 19/20.

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2.8. Surprise audits are the general rule for:

- a. Customers only
- b. FDA and EPA audits
- c. Marginal suppliers
- d. Internal audits only

Solution: Most quality auditing is not conducted on a surprise basis.

Surprise audits are warranted where safety or health risks are at stake. Regulatory bodies, which oversee consumer safety and health in service and industry, often utilize surprise audits.

**Answer b is correct.**

Reference: *CQA Primer*, Section II - 21.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

- 2.9. The process audit may be useful in:
- Examining the quality management system
  - External audits only
  - Verifying conformance to standards and procedures
  - Documenting the customer's use of the product

Solution: Process audits are very beneficial in achieving quick improvement. They address processing problems rather than the bigger systems problems; therefore, these problems may receive corrective action sooner.

- This is a systems audit.
- This refers broadly to supplier audits and does not specify which type of audit. Process audits are beneficial both internally and externally.
- Process audits are useful in verifying conformance to the defined standards and procedures (as well as opportunity for improvement).
- This answer refers to a product audit but may apply as much to market research as to auditing.

**Answer c is correct.**

Reference: *CQA Primer*, Section II - 17 and 24.

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- 2.10. A third party audit may be :
- External
  - Conducted by a consultant
  - Conducted during the execution phase of a contract
- II only
  - I and II only
  - II and III only
  - I, II, and III

Solution: This question requires a review of the answers. The key phrase is "may be." A third party audit is an audit conducted by an independent, outside individual or audit group such as a consultant or an ISO registrar. Third party audits are performed at the request of management. The third party auditor may conduct the audit at a supplier facility (with supplier consent). Items **I**, **II**, and **III** may all be correct.

**Answer d is correct.**

Reference: *CQA Primer*, Section II - 20.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.11. The assessment audit when compared to a full scope audit:

- I. Is almost always an internal audit
  - II. Tends to be less in-depth
  - III. Indicates the use of military standards
- a. I only
  - b. I and II only
  - c. I, II and III
  - d. II only

Solution: This question is asking for a correct comparison of assessment audits and full scope systems audits. A full scope audit is a large, extensive system survey. An assessment audit involves less formality in the preparation and reporting phases than the full systems audit. Answers **I** and **III** are incorrect.

- I. False. An assessment audit is almost always an external audit.
- II. True. An assessment audit is less in-depth.
- III. False. Published standards, such as Military Standards or ASTM Guidelines may be agreed upon as audit references, where applicable. They are commonly used during systems audits to evaluate compliance.

**Answer d is correct.**

Reference: *CQA Primer*, Section II - 21.

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2.12. Your company has been advised that it will be the subject of a pre-award survey. You advise management to prepare for:

- a. A surprise audit
- b. An internal audit
- c. A third party audit
- d. An announced audit

Solution: This question is presented from the auditee's perspective. Your company is the supplier and the subject of a pre-award survey. A pre-award survey is a general overview of the company and its existing quality systems. This overview broadly includes management commitment to quality, as well as manufacturing or service capability. A pre-award survey is conducted by the potential customer in their search for an acceptable supplier. A pre-award survey is not normally conducted on an existing supplier. For an existing supplier, the customer should already have knowledge of the supplier's capability and potential. Any request to perform a pre-award survey on a potential supplier should come after an initial inquiry prior to contract award.

Answer **a** is incorrect; your company has reviewed an announcement. Answer **b** is incorrect; an outside audit is planned.

The use of outside auditors for pre-award evaluation would be highly irregular (Answer **c**). The evaluation audit for placement of business is normally performed by internal customer auditors who are familiar with the needs of the company.

Answer **d** is true; your company has received an announcement.

**Answer d is correct.**

Reference: *CQA Primer*, Section II - 22/23.

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## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.13. A full scope audit is most similar to which of the following?

- a. An assessment audit
- b. An extensive intrinsic audit
- c. An extensive quality systems audit
- d. An external product audit

Solution: The term “full scope audit” is generic for a large systems audit.

- a. The assessment audit is less formal and more limited in scope than the system audit.
- b. The term “intrinsic” simply means that the audit originates from within the organization. Used here, it is too vague to give us information as to the nature of the audit.
- c. An extensive quality systems audit is the correct answer.
- d. This is an outside product audit, possibly at the supplier or customer site.

**Answer c is correct.**

Reference: *CQA Primer*, Section II - 23.

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2.14. A product quality audit always requires:

- a. An assessment of product conformance
- b. The use of a scoring checklist
- c. An appraisal of process completeness
- d. An examination of processing procedures

Solution: The key word in this question is “always.” It is possible to perceive this question to be more complex than it actually is. The question is looking for a fundamental requirement. Answers **c** and **d** are associated with process auditing more than with product auditing. Answer **b** is incorrect because nonscoring checklists may be used. When a product audit is conducted by itself, it is performed to ascertain the condition of the product. To accomplish this, sampling plans are normally involved. Sampling plans require that a specified quantity of product be assessed.

**Answer a is correct.**

Reference: *CQA Primer*, Section II - 18.

## SECTION II

### AUDITING FUNDAMENTALS - SAMPLE QUESTIONS

2.15. Objective evidence can only be expressed via:

- I. The lead auditor
  - II. Verifiable qualitative or quantitative observations
  - III. Statements of fact
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- a. I only
  - b. II only
  - c. II and III only
  - d. I, II and III

Solution: The key word in this question is “only.” To understand “objective evidence,” we must define the term. “Objective” means - perceived without distortion, interpretation, prejudice, or personal feelings. Objective evidence is perceptible to all. “Evidence” is observation or measurement which is verifiable to physical proof (or disproof) of compliance to a defined requirement (such as a standard or procedure). Objective evidence is perceptible to all observers.

- I. This is a weak choice. Auditors report observations based upon objective evidence. This objective evidence comes from the audit and items **II** and **III** which follow.
- II. This is a good answer. We want our audit facts to be verifiable. Should the validity of the audit facts be questioned, the auditee may be provided facts which they can verify.
- III. This is the best direct answer.

**Answer c is correct.**

Reference: *CQA Primer*, Section II - 7.

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2.16. What party traditionally has the authority to initiate an audit?

- a. The plant manager
- b. The client
- c. The lead auditor
- d. The auditee

Solution: The proper answer to this question is **b**, the client. Under certain conditions the plant manager may be the client. However, many other parties may also be the client making answer **a** a subset of answer **b**. The lead auditor and auditee are participants in the audit but do not initiate it.

**Answer b is correct.**

Reference: *CQA Primer*, Section II - 4 (among many other locations).