

3055 Carry out quality audits (CFAM&LFE4)		
SQA Unit Code		FM60 04
Level 2	SCQF Level 7	Credit value 7

Unit Summary

This unit is about carrying out quality audits as part of a formal quality management system, such as ISO9001:2000 or sector-specific systems. Quality auditors require technical knowledge of the quality system and standards with which they are working and a good understanding of the processes and procedures they are auditing. They need to carry out quality audits professionally and rigorously in order to reveal any non-conformances. They also need interpersonal skills to carry out audits in such a way that auditees (i.e. those being audited) do not feel threatened, but rather feel empowered to continuously improve the quality of their work. The unit is for quality auditors – those carrying out formal audits of compliance with quality systems. This unit is linked to units:
F13 Manage quality systems
F14 Prepare for and participate in quality audits
in the overall suite of National Occupational Standards for Management and Leadership.

In order to be assessed as competent you must demonstrate to your assessor that you can consistently perform to the requirements set out below. Your performance evidence must include at least one observation by your assessor.

You must be able to:	You need to show:
<p>1. Carry out quality audits</p> <p>This means you:</p> <p>Carry out quality audits according to a plan and schedule that meets the needs of those requiring the audits to be carried out</p> <p>Carry out quality audits in ways which enhance auditees’ confidence in the quality system and their commitment to meeting and maintaining quality standards</p> <p>Give auditees the required period of notice of your intention to audit</p>	<p>Evidence must be work-based, simulation alone is only allowed where shown in <i>bold italics</i></p> <p>Evidence of carrying out quality audits as part of your role in accordance with workplace procedures and within the limits of your own responsibilities.</p>

<p>Prepare carefully to establish clearly:</p> <ul style="list-style-type: none">The scope of the auditThe responsibilities of the auditeesThe quality procedures that apply to their work <p>Previous audit history</p> <p>Clarify with auditees the purpose of the audit and the roles, responsibilities and expectations of yourself and the auditees</p> <p>Carry out an investigation of the auditees' work in sufficient detail to reveal any deviations from relevant quality procedures</p> <p>Adapt your behaviour, where necessary, to encourage auditees to co-operate fully to achieve the purpose of the audit</p> <p>Share with the auditees the results of the audit and agree appropriate corrective actions to remedy any non-conformances and the date by which the actions should be carried out</p> <p>Check with auditees that corrective actions have been carried out by agreed dates</p> <p>Seek advice from your manager or quality specialists if you cannot agree a deviation or corrective action with auditees</p> <p>Promptly bring to the attention of your manager or quality specialists any deviations which present serious and/or immediate risks to individuals or to the organisation</p> <p>Identify and analyse any inherent problems with processes and/or quality procedures and report your findings and any recommendations with an appropriate degree of urgency</p> <p>Keep complete records of quality audits and make your audit reports available to authorised people</p>	
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<p>Evidence of knowledge and understanding should be collected during observation of performance in the workplace. Where it cannot be collected by observing performance, other assessment methods should be used.</p>
<p>You need to know and understand:</p>

General knowledge and understanding

1. Quality management principles, methods, tools, techniques and current developments in best practice
2. How to carry out quality audits and the importance of doing so according to an agreed plan and schedule
3. Different ways of carrying out quality audits to enhance auditees' confidence in the quality system and their commitment to meeting and maintaining quality standards, and the importance of doing so
4. The importance of giving auditees the required period of notice of your intention to audit
5. The importance of preparing carefully for the audit, and how to do so
6. The importance of communicating information clearly, concisely and accurately, and how to do so
7. How to carry out an investigation in sufficient detail to reveal any discrepancies
8. How to decide on appropriate corrective actions to remedy each discrepancy and the date by which the actions should be carried out, and the importance of agreeing this with the auditees
9. How to identify and analyse inherent problems with processes and quality procedures and why it is important to report your finding and recommendations with an appropriate degree of urgency
10. The importance of checking with auditees that corrective actions have been carried out by agreed dates, and how to do so
11. How to keep complete records of quality audits and the importance of making your audit reports available to authorised people
12. How to identify the discrepancies that present serious and/or immediate risks to individuals or to the organisation and the importance of promptly bringing this to the attention of your manager or quality specialists

Industry/sector specific knowledge and understanding

13. Industry/sector requirements for quality management and auditing

Context specific knowledge and understanding

14. The culture and quality management systems in place in the organisation in which the audit is being carried out
15. The customers of the audit – those requiring the audit to be carried out – and their needs
16. The responsibilities of the auditees and the quality procedures that apply to their work
17. Sources of advice, guidance and support from your manager and/or quality specialists if you cannot agree a discrepancy or corrective action with auditees
18. The limits of your own knowledge, skills and competence
19. Your organisation's policies and procedures for keeping full and accurate records
20. The authorised personnel who should receive your audit reports

Evidence of performance may employ examples of the following assessment:

- observation
- written and oral questioning;
- evidence from company systems (e.g. Food Safety Management System)
- reviewing the outcomes of work
- checking any records of documents completed

- checking accounts of work that the candidate or others have written