

Unit CFAM&LFE2 (H420 04) Manage Quality Audits

I confirm that the evidence detailed in this unit is my own work.

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| **Candidate’s name** |  | **Candidate’s signature** |  | **Date** |
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I confirm that the candidate has achieved all the requirements of this unit.

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| **Assessor’s name** |  | **Assessor’s signature** |  | **Date** |
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| **Countersigning — Assessor’s name****(if applicable)** |  | **Countersigning — Assessor’s signature****(if applicable)** |  | **Date** |
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I confirm that the candidate’s sampled work meets the standards specified for this unit and may be presented for external verification.

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| **Internal verifier’s name** |  | **Internal verifier’s signature** |  | **Date** |
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| **Countersigning — Internal verifier’s name****(if applicable)** |  | **Countersigning — Internal verifier’s signature****(if applicable)** |  | **Date** |
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| **External Verifier’s initials and date (if sampled)** |  |

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| **Unit overview** |
| This standard is about managing a programme of quality audits to ensure people are complying with your organisation’s quality system and procedures. |

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| **Sufficiency of evidence** |
| There must be sufficient evidence to ensure that the candidate can consistently achieve the required standard over a period of time in the workplace or approved realistic working environment. |

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| **Performance criteria** |
| **What you must do:** |
| There must be evidence for **all** Performance Criteria (PC). |
| 1. Engage people within your organisation and other key stakeholders in auditing compliance with your organisation’s quality systems.
2. Establish the scope and objectives of quality audits
3. Evaluate the relative risks – probability and impact – of organisational processes not complying with quality systems
4. Develop a programme of quality audits which prioritises those areas and processes at greatest risk
5. Develop, support and supervise a sufficient number of competent people to carry out the programme of audits
6. Allocate audits to competent people on an equitable basis, taking into account their expertise and development needs
7. Ensure those responsible for organisational processes understand the requirements of quality systems and procedures and their roles within quality audits
8. Monitor progress of quality audits against the planned programme and take effective action in the event of significant variances or changes in organisational strategy, risk assessment or resource availability
9. Evaluate the results of quality audits and report non-compliance and associated risks to senior management with the appropriate level of urgency
10. Provide feedback to those whose performance was audited in ways which enhance their confidence and commitment to quality
11. Use the results to inform risk assessment and the preparation of future quality audit programmes
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| **Evidence reference** | **Evidence description** | **Date** | **Performance criteria** |
| **What you must do** |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** |
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| **Knowledge and understanding** | **Evidence reference****and date** |
| **What you must know and understand** |
| For those knowledge statements that relate to **how** the candidate should do something, the assessor may be able to infer that the candidate has the necessary knowledge from observing their performance or checking products of their work. In **all** other cases, evidence of the candidate’s knowledge and understanding must be gathered by alternative methods of assessment (eg oral or written questioning). |
|  | **General knowledge and understanding** |  |
|  | How to engage people within your organisation and other stakeholders in auditing compliance with your organisation’s quality systems. |  |
|  | Quality management principles, methods, tools and techniques. |  |
|  | Risk management principles, methods, tools and techniques. |  |
|  | How to prioritise areas and processes at greatest risk of non-compliance. |  |
|  | How to develop a quality audit programme. |  |
|  | How to carry out quality audits. |  |
|  | The competences quality auditors require. |  |
|  | How to calculate the resources required to deliver a quality audit programme |  |
|  | Principles and methods of effective communication and how to apply them. |  |
|  | How to monitor progress against plans and identify significant variances. |  |
|  | How to evaluate the results of quality audits and identify cases of noncompliance which require urgent attention. |  |
| 12 | How to provide feedback those whose performance was audited in ways which enhance their confidence and commitment to quality. |  |
| 13 | How to identify the lessons learned. |  |
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|  | **Industry/sector specific knowledge and understanding** |  |
| 14 | Legal, regulatory and ethical requirements in your sector/industry. |  |
| 15 | Industry/sector requirements for quality assurance. |  |

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| **Knowledge and understanding** | **Evidence reference****and date** |
| **What you must know and understand** |
| For those knowledge statements that relate to **how** the candidate should do something, the assessor may be able to infer that the candidate has the necessary knowledge from observing their performance or checking products of their work. In **all** other cases, evidence of the candidate’s knowledge and understanding must be gathered by alternative methods of assessment (eg oral or written questioning). |
|  | **Context specific knowledge and understanding** |  |
| 16 | Individuals within your work area, their roles, responsibilities, competences and potential. |  |
| 17 | Your organisation’s key stakeholders and their interests. |  |
| 18 | Your organisation’s quality systems. |  |
| 19 | The people in your organisation with responsibility for quality. |  |
| 20 | Your organisation’s strategy. |  |
| 21 | Your organisation’s resources. |  |

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# Supplementary evidence

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| **Evidence** | **Date** |
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| **Assessor feedback on completion of the unit** |
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