
Overview

This standard is about carrying out quality audits as part of a formal quality management system.

The standard is relevant to quality auditors – those carrying out formal audits of compliance with quality systems.

This standard links closely to all the other standards in key area *FE Manage quality and performance*. It mirrors *CFAM&LFE3 Prepare for and participate in quality audits* which describes the performance expected of the auditee.

Carry out quality audits

Performance criteria

- You must be able to:*
- P1 Carry out quality audits according to a plan and schedule agreed with those requiring the audits to be carried out.
 - P2 Carry out quality audits in ways which enhance auditees' confidence in the quality system and their commitment to meeting and maintaining quality standards.
 - P3 Give auditees the required period of notice of your intention to audit.
 - P4 Prepare carefully to establish clearly:
 - P4.1 the scope of the audit
 - P4.2 the responsibilities of the auditees
 - P4.3 the quality procedures that apply to their work
 - P4.4 previous audit history.
 - P5 Clarify with auditees the purpose of the audit and the roles, responsibilities and expectations of yourself and the auditees.
 - P6 Carry out an investigation of the auditees' work in sufficient detail to reveal any non-conformances with relevant quality procedures.
 - P7 Encourage auditees to co-operate fully to achieve the purpose of the audit.
 - P8 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.
 - P9 Check with auditees that corrective actions have been carried out by agreed dates.
 - P10 Seek advice from your manager or quality specialists if you cannot agree a non-conformance or corrective action with auditees.
 - P11 Promptly bring to the attention of your manager or quality specialists any non-conformances which present serious and/or immediate risks.
 - P12 Identify and analyse any inherent problems with processes and/or quality procedures and report your findings and any recommendations to those who need to know with an appropriate degree of urgency.
 - P13 Keep complete records of quality audits and make your audit reports

CFAM&LFE4 - SQA Unit Code HK3F 04

Carry out quality audits

available to authorised people.

Knowledge and understanding

You need to know and understand:

General knowledge and understanding

- K1 Quality management principles, methods, tools, techniques and current developments in best practice.
- K2 How to carry out quality audits and the importance of doing so according to an agreed plan and schedule.
- K3 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.
- K4 The importance of giving auditees the required period of notice of your intention to audit.
- K5 The importance of preparing carefully for the audit, and how to do so.
- K6 The importance of communicating information clearly, concisely and accurately, and how to do so.
- K7 How to carry out an investigation in sufficient detail to reveal any non-conformances.
- K8 How to decide on appropriate corrective actions to remedy each non-conformance and the date by which the actions should be carried out, and the importance of agreeing this with the auditees.
- K9 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.
- K10 The importance of checking with auditees that corrective actions have been carried out by agreed dates, and how to do so.
- K11 How to keep complete records of quality audits and the importance of making your audit reports available to authorised people.
- K12 How to identify the non-conformances 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

You need to know and understand:

K13 Industry/sector requirements for quality management and auditing.

Context specific knowledge and understanding

You need to know and understand:

K14 The culture and quality management systems in place in the organisation in which the audit is being carried out.

K15 The customers of the audit – those requiring the audit to be carried out – and their needs.

K16 The responsibilities of the auditees and the quality procedures that apply to their work.

K17 Sources of advice, guidance and support from your manager and/or quality specialists if you cannot agree a non-conformances or corrective action with auditees.

K18 The limits of your own knowledge, skills and competence.

K19 Your organisation's policies and procedures for keeping full and accurate records.

K20 The authorised personnel who should receive your audit reports.

Carry out quality audits

Behaviours

When performing to this standard, you are likely to demonstrate the following behaviours:

- 1 Seek opportunities to improve performance
- 2 Find practical ways to overcome obstacles
- 3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding
- 4 Present information clearly, concisely, accurately and in ways that promote understanding
- 5 Keep people informed of plans and developments in a timely way
- 6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 7 Act within the limits of your authority
- 8 Refer issues outside the limits of your authority to appropriate people
- 9 Show integrity, fairness and consistency in decision-making
- 10 Clearly agree what is expected of others and hold them to account
- 11 Use cost-effective, time-effective and ethical means to gather, store and retrieve information
- 12 Make appropriate information and knowledge available promptly to those who need it and have a right to it
- 13 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
- 14 Identify the range of elements in a situation and how they relate to each other
- 15 Take timely decisions that are realistic for the situation

Skills

When performing to this standard, you are likely to demonstrate the following skills:

- Assessing
- Benchmarking
- Communicating
- Decision-making
- Evaluating
- Interviewing
- Involving others
- Monitoring
- Planning
- Questioning
- Reporting
- Reviewing
- Setting objectives

CFAM&LFE4 - SQA Unit Code HK3F 04

Carry out quality audits

Developed by CFA Business skills @ work

Version number 2.0

Date approved March 2012

Indicative review date March 2015

Validity Current

Status Original

Originating organisation CFA Business skills @ work

Original URN CFAM&LFE4

Relevant occupations Managers and Senior Officials

Suite Management & Leadership

Key words Management & leadership; quality audit