



# HKICA-CC02 Examination Syllabus

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## CERTIFICATION SCHEME OF QUALITY MANAGEMENT SYSTEM AUDITOR (CSQMSA)

- **Question: After auditors report deficiencies that haven't yet been corrected, their role should be to:**
- a. Ensure that corrective action is done right.
- b. Leave all further action up to the auditee.
- c. Evaluate corrective action after it is taken.
- d. Inform the auditee's top management that they should monitor the corrective action.

- **An audit plan is:**
  - a. a facilities layout
  - b. a description of the activities and arrangements for an audit
  - c. a checklist of questions to be asked during an audit
  - d. a) and b)
  - e. b) and c)

- **Which two of the following conditions must be met in order to infer statistical significance about the results of an audit sample?**
- I. The population must be homogeneous.
- II. The sample size must be greater than 10.
- III. The sample must be random.
- IV. The sample must be taken from multiple locations.
- (A) I and II
- (B) I and III
- (C) II and III
- (D) III and IV

- **Auditor independence includes freedom from which of the following?**
- I. Bias
- II. Conflict of interest
- III. External influences
- IV. Previous exposure to the area
- (A) I and II only
- (B) II and IV only
- (C) I, II, and III only
- (D) II, III and IV only

- **True/False Questions**
- QMS standards can substitute for relevant product requirements provided in technical specifications.
- The ISO 9000 family of standards provides guidance for quality management and general requirements for quality control.
- A list of approved suppliers constitutes sufficient objective evidence of acceptable suppliers.
- It is a nonconformity, if a customer is not notified when product is shipped to them, that was inspected and passed using defective measurement devices.

# Specimen Questions

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- Explain the characteristics of (and differences between) a first party, second party, and third party QMS audit.
- An experienced auditor has been instructed to carry out a QMS audit of a potential supplier. From initial contacts with the supplier, it is learned that a formal documented QMS does not exist. List five steps the auditor could take in planning for such an audit.

# Specimen Questions

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- **Your response should cover some depth on the subject matter.**
- An audit is being planned on an organization that carries out purchasing activities and verification of purchased products. Write an audit checklist of eight key controls that an auditor should cover during an audit of those activities. State the relevant clauses of ISO 9001.



- **Evaluation Of Audit Situations**

- In the maintenance department, the auditor notes that contrary to the company's work instruction, TDWI 05 issue 3, which is clearly displayed at all work stations, three of the ten people in the department are not wearing the company issued safety glasses when operating machining equipment.
- determine whether they have sufficient objective evidence of a nonconformity or not, and report their findings.

- **Evaluation Of Audit Situations**
- **Rewrite the statement and identify the ISO9001 clause number**
- In the Storage Room, stocks of food additives were found to be contaminated by fumes from extraction ducts that were not airtight.

# Specimen Questions

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- 一間禮品公司，是配合不同文具，包裝出貨。而所有文具件，皆由總公司全部供應，所以若果有文具件問題，皆不能退貨。而在其質量管理體系手冊中，發現是刪減 7.4 供應商的控制。試評論之。
- 一間水泥廠，主要生產第400及500號水泥，過程從沒有變化，而該廠是在鑛場內，石料皆是就地取材，而不需進行來料檢驗，因為是隨意取用，用之不盡，就算有壞料，皆不能退貨。試評論之。

- 人事顧問公司，主要配對尋找工作人事，安排介紹至合適的僱主，該公司不涉及「產品」，所以無須理會  
**8.3 不合格品的控制。是否同意，為什麼？**
- 在審核員巡視廠房員工時，抽取一位正在廠房工作的員工，查問他對工作崗位的認識，員工顯示不理解，後來回到辦公室時，與管理者代表發出了一個不符合項，表示該員工沒有受到適當的培訓。而管理者代表反辯，該生產部的大部份員工，是由一間外判工公司，提供合適員工在這崗位工作。試試評述，審核員在審核過程中，出現了哪些問題？

End of the Session  
Thank you