

### **Overview**

This standard is about carrying out and participating in quality audits. You manage a programme of quality audits to ensure people are complying with your organisation's quality system and procedures. You carry out quality audits as part of a formal quality management system. You also prepare for, and participate in, quality audits of your own area of responsibility and take action to improve business processes, quality standards or procedures.

This standard is for all managers and leaders.

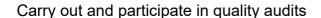


### Performance criteria

#### You must be able to:

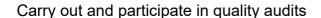
## Manage and carry out quality audits

- 1. engage colleagues and stakeholders in auditing compliance with your organisation's quality systems
- 2. establish the scope and objectives of quality audits
- 3. evaluate the risks of organisational processes not complying with quality systems
- 4. plan programmes of quality audits which prioritises the areas and processes at greatest risk
- 5. develop, support and supervise people to carry out audit programmes
- 6. allocate audits to people, based on their expertise and development needs
- 7. ensure colleagues responsible for organisational processes understand their roles within quality audits, and the requirements of quality systems and procedures
- 8. monitor progress of quality audits against planned programmes
- 9. revise audit activities in the event of significant variances or changes in organisational strategy, risk assessment or resource availability
- 10. evaluate the results of quality audits and report non-compliance and associated risks to senior management according to the level of urgency
- 11. provide feedback to auditees to enhance their confidence and commitment to quality





- 12. use audit results to inform risk assessment and future quality audit programmes
- 13. carry out quality audits according to a plan and schedule agreed, giving auditees the required period of notice
- 14. carry out quality audits in ways which enhance auditees' confidence in the quality system and their commitment to maintaining quality standards
- 15. define the scope of audits, the responsibilities of the auditees, the quality procedures and previous audit history
- 16. clarify the purpose of audits and the roles, responsibilities and expectations of yourself and the auditees
- 17. carry out an investigation of the auditees' work in sufficient detail to reveal any non-conformances with required quality procedures
- 18. encourage auditees to co-operate fully to achieve the purpose of audits
- 19. share the results of audits with auditees
- 20. agree corrective actions to remedy any non-conformances and the date by which the actions should be carried out
- 21. check with auditees that corrective actions have been carried out by agreed dates
- 22. seek advice from your manager or quality specialists if you cannot agree actions with auditees
- 23. escalate any non-conformances which present serious or immediate risks to your manager or quality specialists
- 24. identify and analyse any problems with processes and procedures





and report your findings and any recommendations

- 25. keep complete records of quality audits giving access to authorised people
- 26. follow the legal, organisational, codes of practice and policies relevant to managing and carrying out quality audits

## Participate in quality audits

- 27. establish the quality standards and procedures that apply to your area of responsibility
- 28. monitor work to ensure it consistently meets quality standards and complies with organisational procedures
- 29. check that records and documentation are complete, up to date and accessible
- 30. check that any corrective actions agreed in previous audits have been completed and that recommendations have been acted upon, where appropriate
- 31. provide the auditor with access to information, records and documentation
- 32. discuss the results of the audit to agree corrective actions to remedy any non-conformances and the date by which the actions should be carried out
- 33. discuss any areas where business processes, quality standards or procedures could be improved, with the auditor
- 34. create and carry out any corrective actions by agreed dates



# Knowledge and understanding

You need to know and understand:

# General knowledge and understanding

- 1. how to engage people within your organisation and other stakeholders in auditing compliance with your organisation's quality systems
- 2. the quality and risk management principles, methods, tools, techniques that can be used and current developments in best practice
- 3. how to prioritise areas and processes at greatest risk of non-compliance
- 4. how to develop a quality audit programme
- 5. the competences that quality auditors require
- 6. how to calculate the resources required to deliver a quality audit programme
- 7. how to monitor progress against plans and identify significant variances
- 8. how to provide feedback to auditees in ways which enhance their confidence and commitment to quality
- 9. how to carry out quality audits and the importance of doing so according to an agreed audit plan and schedule
- 10. the different ways of carrying out quality audits to enhance auditees' confidence in the quality system and their commitment to meeting and maintaining quality standards
- 11. the importance of giving auditees the required period of notice of your intention to audit





- 12. the importance of preparing carefully for the audits, and how to do so
- 13. how to carry out an investigation in sufficient detail to reveal any non-conformances
- 14. how to decide corrective actions to remedy each nonconformance, the date by which the actions should be carried out, and the importance of agreeing this with the auditees
- 15. 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
- 16. the importance of checking with auditees that corrective actions have been carried out by agreed dates, and how to do so
- 17. how to keep complete records of quality audits and the importance of making your audit reports available to authorised people
- 18. how to identify the non-conformances that present serious or immediate risks to employees or to the organisation and the importance of promptly bringing this to the attention of your manager or quality specialists
- 19. how to monitor work to ensure it consistently meets quality standards and complies with procedures
- 20. the importance of ensuring that records and documentation are complete and up to date and how to make these readily accessible to auditors
- 21. how to identify areas where business processes, quality systems or procedures could be improved

### Industry and sector specific knowledge and understanding

22. the industry and sector requirements for quality management and





### auditing

23. the legal, organisational, codes of practice and policies relevant to managing and carrying out quality audits

### Context specific knowledge and understanding

- 24. your organisation's strategy, stakeholders, policies and procedures
- 25. the people in your organisation with responsibility for quality and the quality systems used
- 26. the culture and quality management systems in place in the organisation in which the audit is being carried out
- 27. the customers of the audit and their needs
- 28. the responsibilities of the auditees and the quality procedures that apply to their work
- 29. the sources of advice, guidance and support from your manager or quality specialists
- 30. the authorised personnel who should receive your audit reports
- 31. the quality standards and procedures that apply to your area of responsibility
- 32. the records and documentation required for your area of responsibility
- 33. the corrective actions and recommendations agreed in previous audits



### **Skills**

- 1. Assessing
- 2. Benchmarking
- 3. Communicating
- 4. Decision-making
- 5. Delegating
- 6. Evaluating
- 7. Information management
- 8. Interviewing
- 9. Involving employees
- 10. Monitoring
- 11. Planning
- 12. Presenting information
- 13. Problem solving
- 14. Providing feedback
- 15. Questioning
- 16. Reporting
- 17. Reviewing
- 18. Risk management
- 19. Thinking systematically



Developed by	Skills CFA
Version Number	1
Date Approved	12 Feb 2021
Indicative Review  Date	01 Mar 2026
Validity	Current
Status	Original
Originating Organisation	Instructus
Original URN	CFAM&LFE2, CFAM&LFE3, CFAM&LFE4
Relevant Occupations	Managers and Senior Officials
Suite	Management and Leadership
Keywords	Management & leadership; quality audits; preparation; participation