



## SAMPLE EXAMINATION

**The purpose of the following sample examination is to provide an example of what is provided on exam day by ASQ, complete with the same instructions that are provided on exam day.**

**The test questions that appear in this sample examination are retired from the CQA pool and have appeared in past CQA examinations. Since they are now available to the public, they will NOT appear in future CQA examinations. This sample examination WILL NOT be allowed into the exam room.**

**Appendix A contains the answers to the sample test questions. ASQ will not provide scoring and analysis for this sample examination. Remember: These test questions will not appear on future examinations so your performance on this sample examination may not reflect how you perform on the formal examination. A self-appraisal of how well you know the content for the specific areas of the body of knowledge (BOK) can be completed by using the worksheet in Appendix B.**

**On page 1 of the instructions, it states “There are 150 questions on this 5-hour examination. You will receive 2 parts to the CQA exam, (1) multiple-choice questions, (2) Audit Documents for the case study questions.” Please note that this sample exam only contains 80 questions and the 2 parts are combined. Each part does include the same cover letters and page numbering formats as the formal examination.**

If you have any questions regarding this sample examination, please email [cert@asq.org](mailto:cert@asq.org)

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The following section contains the first part of the CQA examination, the multiple-choice questions.



The Global Voice of Quality™

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## CERTIFIED QUALITY AUDITOR

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### General Instructions

All answers **must** be recorded on the Scantron Answer Sheet; no exam will be graded with the answers marked in the exam booklet.

There are 150 questions on this 5-hour exam. You will receive 2 parts to the CQA exam, (1) multiple-choice questions, (2) Audit Documents for the case study questions.

1. Using a soft lead pencil (#2 or softer) only, blacken the circle of the correct answer. **Do not use ink.** If you change your answer, be sure to erase the previous answer completely. Do not fold, staple, or tear the answer sheets.
2. Each question has **ONE** correct answer only.
3. This is a timed test; do not linger over difficult questions. Instead, skip the questions of which you are unsure; return to them when you reach the end of the test.
4. Although this is an open book examination and personally generated materials/notes from training or refresher courses **are** allowed, the following conditions apply:
  - Each examinee must make his/her reference materials available to the proctor for review.
  - Absolutely no collections of questions and answers or weekly refresher course quizzes are permitted. Reference sources that contain such copy are not allowed unless the questions and answers are removed or obscured. **Examples of such sources include but are not limited to refresher and preparatory primers.**
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5. When you have finished, check your answer sheet to be sure it is properly identified with your name and member number. Return your examination booklet, answer sheet, examinee comment form and scratch paper to your proctor. You must sign the roster sheet to signify the return of your test booklet.
7. It is strictly forbidden to copy or remove examination materials. You will be disqualified from the examination and not certified by ASQ if you breach this trust.
8. **PLEASE BE PATIENT** - you will receive your results in approximately two weeks. Sorry, but we do not answer telephone requests for results. If you pass, your certificate will be sent directly to your address of record. If you do not pass, you will receive a Pareto analysis of your test results along with retake information.



## CERTIFIED QUALITY AUDITOR Test

Directions: Each of the questions or incomplete statements below is followed by four suggested answers or completions. Select the one that is best in each case and then fill in the corresponding space on the answer sheet.

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1. A root cause of a nonconformance is defined as a problem that
  - (A) is discovered by conducting designed experiments
  - (B) is established through the use of fishbone diagrams
  - (C) must be reviewed by the material review board
  - (D) must be corrected in order to prevent a recurrence
2. When lower-tier documents are compared to higher-tier documents before the fieldwork starts, the comparison is called a
  - (A) desk audit
  - (B) process audit
  - (C) conformance audit
  - (D) management audit
3. An audit trail is necessary in order to
  - (A) schedule and budget for audit assignments
  - (B) show how and when items were reviewed
  - (C) provide management with justification for an audit
  - (D) provide the audit manager with audit results
4. Which of the following audit strategies is a common technique to assess compliance to a specific requirement at all locations where that requirement is applicable?
  - (A) Discovery method
  - (B) Element method
  - (C) Department method
  - (D) Process method
5. Which of the following conclusions can be made by an auditor who observes that statistical process control (SPC) charts posted near operator workstations are done correctly and are regularly completed throughout the plant?
  - (A) Commitment of management to quality is strong
  - (B) Processes are being improved continually
  - (C) Shop floor staff have been fully trained
  - (D) SPC charts are available
6. When is it acceptable to grant an extension of the time frame for a corrective action?
  - (A) When the auditor cannot perform the follow-up audit as scheduled
  - (B) When the auditee determines that the proposed corrective action is not cost-effective
  - (C) When the corrective action plan requires more time than originally anticipated
  - (D) When there has been a change in operators who perform the task
7. The fraction of nonconforming products is plotted on which of the following types of control charts?
  - (A) p chart
  - (B) u chart
  - (C) np chart
  - (D) c chart
8. Auditors can use flowcharts in their work in order to
  - (A) analyze the causal factors of process dispersion
  - (B) understand the overall process or system being audited
  - (C) distinguish variations in a process over time
  - (D) determine process capability and uniformity

CQA-SAMPLE EXAM

9. An auditee responds to a corrective action request by stating that the problem has never occurred before and is “not the norm for our operation.” Which of the following is the most appropriate action for the lead auditor?
- (A) Note that the deficiency is the result of a random occurrence.
  - (B) Draft a response explicitly requesting a more concise root-cause analysis.
  - (C) Confer with the audit client to assess the appropriateness of the response.
  - (D) Schedule a follow-up audit immediately.
10. Which of the following is an audit reporting technique for prioritizing audit findings?
- (A) Weibull distribution
  - (B) Risk-benefit ratio
  - (C) Cognitive dissonance
  - (D) Ishikawa diagram
11. Which of the following is most important for an auditor to convey at an initial audit interview?
- (A) A give-and-take atmosphere that focuses on compromise
  - (B) A formal approach that is guided by specific roles for each participant
  - (C) An interest in cooperation and open dialogue
  - (D) A personal approach to information gathering
12. If the audit escort for one area is repeatedly late or unavailable, what is the best option open to the auditor?
- (A) Notify the auditee management of the consequences created by the delays.
  - (B) Narrow the scope of the audit to accommodate the delays.
  - (C) Proceed without the escort.
  - (D) Assess system effectiveness using objective evidence from other areas.
13. Which of the following statistics would best describe the central tendency of a sample of data?
- (A) Mode
  - (B) Mean
  - (C) Standard deviation
  - (D) Range
14. During the opening meeting, it is the auditee’s responsibility to
- (A) prepare the meeting agenda
  - (B) set the audit schedule
  - (C) state the audit purpose and scope
  - (D) identify safety requirements
15. 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
16. Which of the following requests by an auditor is likely to obtain the most objective evidence for verification?
- (A) “What kind of information do you receive?”
  - (B) “Who provides the information to you?”
  - (C) “Describe how you receive information.”
  - (D) “Show me the information you have received.”

17. Audits are conducted against a performance standard to ensure which of the following?
- I. Meaningful measurements
  - II. Objectively evaluated performance
  - III. Perceptive observations
- (A) I only  
(B) I and II only  
(C) II and III only  
(D) I, II, and III
18. While performing an internal audit, an auditor notices that an operator on one shift skips part of the documented procedure. In this situation, the auditor should do which of the following?
- (A) Make a note on the checklist and initial it.  
(B) Report it to the operator's supervisor or manager.  
(C) Question the operator about the observation.  
(D) Ask another operator to evaluate the situation.
19. An auditor is performing an audit of a drilling machine that produces 100 pieces a day and that is showing improved quality. Which of the following rules should be used for determining the proper sample size for a fixed level of confidence?
- (A) The moving average should be calculated.  
(B) The sample size should be decreased as the quality improves.  
(C) The AQL of the raw material should be used.  
(D) A 10% sample size should be used, regardless of the change in quality.
20. An audit report should contain which of the following?
- (A) Audit findings  
(B) Root cause analysis  
(C) Corrective action  
(D) Re-audit schedule
21. The objective evidence supporting an audit observation must be
- (A) recorded on the working papers  
(B) verified by the escort  
(C) mentioned to the auditee  
(D) written as a nonconformance
22. Generally, which of the following is the most meaningful way to trace a finished product?
- (A) Forward from starting with the acquisition of raw materials  
(B) Forward from the first production activity  
(C) Backward from the start of the assembly process  
(D) Backward from the end point
23. When a proposed corrective action plan is judged unacceptable, an auditor should do which of the following?
- (A) Revise the submitted plan on the basis of the auditor's knowledge and technical expertise.  
(B) Notify the auditee and request that a new plan be submitted by the next level of management.  
(C) Discuss the plan's deficiencies with the auditee and request a revised plan.  
(D) Suggest that the auditee benchmark the deficient area and then rewrite the plan.
24. Who makes the final determination regarding the distribution of the audit report?
- (A) The lead auditor  
(B) The audit group manager  
(C) The auditee  
(D) The client

25. The confidence level in a sampling plan is defined as the
- (A) degree of uncertainty that the selected sample contains at least one example of any errors that are present
  - (B) degree of certainty that the selected sample contains at least one example of any errors that are present
  - (C) lowest performance level that can be considered acceptable for the function being audited
  - (D) maximum error rate that can be considered acceptable for the function being audited
26. Which of the following types of tools or techniques is considered qualitative?
- (A) Histograms
  - (B) Frequency distributions
  - (C) Pareto charts
  - (D) Process observations
27. An auditor finds deficiencies in the order entry, purchasing, product test, and shipping functions of a potential supplier. Which of them should have the highest priority in the audit report?
- (A) Order entry
  - (B) Product test
  - (C) Purchasing
  - (D) Shipping
28. After an external audit, the auditee may be asked to evaluate which of the following auditor skills or elements of the audit?
- (A) Interviewing, interaction, accuracy of the audit report
  - (B) Audit scheduling, auditor training records, observing an audit
  - (C) Communication, listening, checklist preparation
  - (D) Clarity of past audit reports, number of findings, lack of bias
29. To determine whether a finding is a minor, isolated incident or a serious, chronic problem, an auditor should consult with the
- (A) auditee's quality assurance inspector
  - (B) auditee's department manager
  - (C) audit team
  - (D) client
30. 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
31. Which of the following qualifications would contribute most to an auditor being able to function effectively in various industrial or service disciplines?
- (A) Familiarity with technical standards and regulations
  - (B) A college degree in a specific technical area
  - (C) A working knowledge of typical corporate organizational structures
  - (D) Extensive background in calibration and metrology techniques
32. A root cause analysis can best be described as a process that is used to
- (A) evaluate corrective action plans
  - (B) determine the basic reason for an undesirable condition
  - (C) identify the symptoms of an undesirable condition
  - (D) differentiate between major and minor problems

33. A quality audit contributes to improvement of the quality of a company's products and services by
- (A) identifying under-performers
  - (B) identifying the need for corrective action
  - (C) suggesting ways to improve performance
  - (D) improving customer satisfaction
34. Which of the following would NOT normally be used as a major category in a cause and effect diagram?
- (A) Modifications
  - (B) Methods
  - (C) Materials
  - (D) Machines
35. An auditee who objects to any part of an audit plan should first make those objections known to the
- (A) lead auditor
  - (B) audit team members
  - (C) audit program manager
  - (D) client
36. Which of the following is the most fundamental role of the audit function?
- (A) Reporting identified problems to the supervisor of the audited area
  - (B) Monitoring performance of the organization and determining corrective action for substandard performance
  - (C) Reporting findings to upper management to ensure that proper corrective action is taken
  - (D) Verifying the effectiveness of the organization's quality system in preventing substandard performance
37. What action should an auditor take if an auditee responds to a procedural noncompliance by stating that the procedure conflicts with a written company policy?
- (A) Close out the corrective action request.
  - (B) Notify the auditee to comply with the procedure.
  - (C) Void the noncompliance.
  - (D) Request that the auditee resolve the conflict.
38. In quality auditing, a finding is defined as
- (A) an observation of common behaviors
  - (B) an item of objective evidence found during an audit
  - (C) a fundamental deficiency that can lead to nonconformance
  - (D) a conclusion of importance based on evidence
39. An internal audit schedule should be prioritized on the basis of all of the following criteria EXCEPT the
- (A) cost of the activities
  - (B) risk of the activities
  - (C) size of the auditee's department
  - (D) management's requests
40. The accuracy of quality audit documentation is especially important in which of the following situations?
- (A) One of the audit team members is aware of a possible personal bias related to the audit.
  - (B) The documentation is likely to be used as evidence in litigation.
  - (C) An audit has yielded more documentation than expected.
  - (D) The documentation supports an auditor's viewpoint.
41. An auditee is likely to be most threatened by an auditor's use of which of the following interviewing techniques?
- (A) Paraphrasing an auditee's response while writing it down
  - (B) Being silent while waiting for an auditee to respond to a question
  - (C) Underlining key facts when recording an auditee's response
  - (D) Using a tape recorder to record an auditee's response

42. Partitioning or segmenting an audit is a useful way to

- (A) understand resource flows
- (B) simulate operating conditions
- (C) determine the relationship among parts
- (D) manage a large audit

43. Which of the following behaviors is LEAST important for an auditor to exhibit?

- (A) Remaining calm throughout the audit
- (B) Displaying honesty and forthrightness
- (C) Adhering to the original audit plan
- (D) Working in a planned and systematic manner

44. An auditee's procedures require that all design drawings be dated and signed. During a design review, an auditor notices that several drawings are signed, but not dated. The missing dates are examples of what kind of data?

- (A) Quantitative
- (B) Measured
- (C) Variable
- (D) Qualitative

45. "What are your defined responsibilities in the calibration laboratory?"

The question above is an example of what type of questioning technique?

- (A) Open-ended
- (B) Close-ended
- (C) Leading
- (D) Discovery

46. Audit team members are responsible for which two of the following?

- I. Initiating the audit
- II. Remaining within the scope of the audit
- III. Compiling and analyzing evidence
- IV. Recommending specific corrective actions

- (A) I and III
- (B) I and IV
- (C) II and III
- (D) II and IV

47. An audit schedule is an integral part of which of the following phases of the auditing process?

- (A) Initiation
- (B) Preparation
- (C) Closing
- (D) Reporting

48. As the last step before distributing an audit plan, an auditor should have the plan

- (A) approved by the client
- (B) approved by the auditee
- (C) reviewed by the organization to be audited
- (D) reviewed by auditee management

49. Who is responsible for preparing the corrective action plan?

- (A) The auditor
- (B) The auditee
- (C) The registrar
- (D) The audit manager

50. An auditee has responded to all requests for corrective action in a timely manner. Which of the following is the next step for the auditor?

- (A) Close all those findings in which the response is accompanied by adequate objective evidence.
- (B) Evaluate the adequacy of the responses.
- (C) Schedule a follow-up audit to verify corrective action.
- (D) Schedule a follow-up audit for critical items and schedule verification for other routine items at the next scheduled audit.

51. The best way to communicate audit results to upper management would be to
- (A) provide a list of findings of noncompliance and supporting objective evidence
  - (B) present a list of all items of nonconformance that require corrective action
  - (C) present a report of the performance against the audit standard of all areas included in the audit scope
  - (D) present an evaluation of overall quality performance and provide an executive summary in the formal report

52. Which of the following authorities initially determines whether a third-party audit should be conducted?

- (A) Client
- (B) Lead auditor
- (C) Auditee
- (D) Audit team

53. Which of the following is the greatest benefit of an internal audit program to an organization?

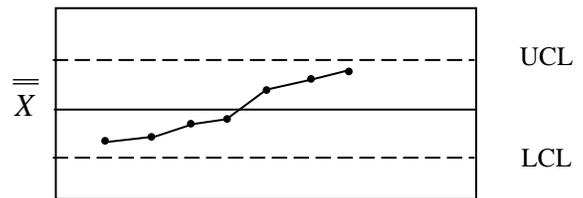
- (A) It fulfills most contractual quality requirements.
- (B) It provides feedback for continuous improvement.
- (C) It prepares an organization for third-party audits.
- (D) It frequently eliminates the need for external audits.

54. For third-party audits, which two of the following factors should be considered by the auditor when agreeing to the amount of time needed to complete corrective action?

- I. The resources available to the auditor for determining when follow-up can occur
- II. The resources available to the auditee to enact the corrective action
- III. The auditee's experience in project evaluation techniques
- IV. The number of findings recorded during the audit

- (A) I and III
- (B) I and IV
- (C) II and III
- (D) II and IV

- 55.



The process information shown in the graph above is indicative of a

- (A) cycle
- (B) run
- (C) trend
- (D) shift

56. The most important item to check when auditing against a specification is the

- (A) list of documents within the specification
- (B) copy of the previous revision of the specification
- (C) document control procedure
- (D) revision level of the specification

57. Which of the following indicates that a quality system is effective?

- (A) The required system is in place and continuous improvement is evident.
- (B) An audit was conducted and no nonconformances were found.
- (C) An audit report states that the intent of the standard is being met.
- (D) No corrective action requests have been issued for a specified period of time.

58. Which of the following is the best method for determining the retention policy of the audit documents?
- (A) Agreement between the client, the auditing organization, and the auditee
  - (B) The status of corrective action for the findings written in the audit report
  - (C) Distribution of the final audit report
  - (D) Significance of the audit findings written in the final audit report
59. During a supplier audit, all of the following documentation can be reviewed EXCEPT
- (A) reports of internal audits performed by the supplier
  - (B) information concerning the company's parts inventory
  - (C) quality records for a product made for another customer
  - (D) operating or working instructions
60. Which of the following best describes a frequency distribution?
- (A) A graph for presenting data along a scale of reference and the number of times each item occurs
  - (B) A time-ordered chart of subgroup averages and control limits
  - (C) A plot of the probability of accepting a hypothesis when it is actually false
  - (D) A graph indicating the difference between an actual value and its predicted value
61. During an audit interview, the auditee is not providing needed information about the process for which the auditee has sole responsibility. In an effort to minimize any miscommunication, the auditor should
- (A) continue to repeat the questions until the auditee answers
  - (B) explain to the interviewee the consequences of being uncooperative
  - (C) terminate the interview and skip that section of the plan
  - (D) request that the escort clarify the questions to the auditee
62. During the closing meeting, what is the advantage of having the lead auditor be the only presenter of the audit findings?
- (A) The auditee will have one person with whom to interact and address comments to.
  - (B) The lead auditor may be the only team member who has verified each finding personally.
  - (C) The lead auditor has the most experience in dealing with the auditee's management.
  - (D) The lead auditor makes the auditee feel more responsible for corrective action of the findings presented.
63. Within most organizations, the responsibility for planning and carrying out a programmed series of quality system audits rests with the
- (A) quality systems engineering function
  - (B) audit program management function
  - (C) financial audits department
  - (D) planning and scheduling department
64. Which of the following is NOT an acceptable method of verifying a corrective action?
- (A) Reviewing measurement records after the correction has been made
  - (B) Contacting the individuals responsible for implementing the correction
  - (C) Conducting another audit on the process or system
  - (D) Collecting or observing the new results of the process
65. The authority for auditors to perform external second-party audits is provided by
- (A) a company's quality assurance manual
  - (B) the quality standard being audited against
  - (C) the established audit procedures
  - (D) the purchase contract

66. Which of the following types of data is likely to be most reliable?
- (A) Data from an outside source
  - (B) Data from the audited area
  - (C) Attributes data
  - (D) Corroborated data
67. Management can best ensure support for the audit function from other departments by
- (A) continually evaluating the audit results
  - (B) reviewing audit follow-up activities and ensuring that corrective action requests are closed in a timely manner
  - (C) hiring personnel who have knowledge of quality procedures and by providing continuing education
  - (D) emphasizing the importance and usefulness of audits to the organization
68. Managing the quality audit process includes ensuring that which of the following audit functions occur?
- I. Preparing and issuing the annual audit schedule
  - II. Issuing audit reports in a timely manner
  - III. Identifying appropriate corrective actions
  - IV. Assessing the effectiveness of the quality audit process
- (A) I and II only
  - (B) I and III only
  - (C) II and IV only
  - (D) I, II, and IV only
69. The main function of an audit checklist is to
- (A) identify the specific products to be examined
  - (B) serve as a guide for members of the audit team
  - (C) save time by auditing only the items listed
  - (D) expedite the preparation of the final audit report
70. During an audit, the best way to determine whether an audited process is consistent with the requirements of the relevant written procedure is by
- (A) doing a statistical analysis of historical data
  - (B) physically observing the actual practice
  - (C) questioning the personnel who perform the procedure
  - (D) evaluating anecdotal evidence
71. The auditor has the most independence from the auditee in which of the following types of audits?
- (A) First-party
  - (B) Supplier
  - (C) Third-party
  - (D) Management
72. During the closing meeting, the lead auditor should do which of the following?
- (A) Accept the presentation of objective evidence.
  - (B) Review the auditor's qualifications.
  - (C) Perform a causal analysis with the auditee.
  - (D) Present a summary of audit results.
73. During an audit, the client learns that the auditor has recently completed a quality system audit of a major competitor. The client then questions the auditor about the competitor's audit results. The best action for the auditor to take is to
- (A) discuss the results of the audit with the client, only if the competitor agrees
  - (B) go offline with the client, explain that the question is unethical, and that if the client persists, additional action by the auditor will be taken
  - (C) explain to the client that it would be inappropriate to discuss the results of that audit
  - (D) obtain permission from the competitor to use the results of the audit as examples for future clients, provided that the examples are not specific to business affairs or technical processes

74. Quality system audits are directed at evaluating the
- (A) specific procedures that have special significance for a company's quality mission
  - (B) quality aspects of various segments of a company's overall approach to quality management
  - (C) quality aspects of specific processes to measure conformance to quality standards
  - (D) organizational units that each have specific assigned missions
75. Which of the following represents a sound time-management technique?
- (A) Scheduling interviews simultaneously at two different facilities
  - (B) Constantly revising the audit schedule to accommodate follow-up questions
  - (C) Anticipating needs and making them known to the auditee in advance
  - (D) Determining the detailed audit schedule at the audit opening meeting

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### Case Studies Section

The following portion of the test includes several Case Studies. Each Case Study includes introductory information about a specific company or audit situation, followed immediately by a set of questions related to the situation described and various audit-related documents, identified by company name.

**All of the audit-related documents for these Case Studies are presented in a separate booklet labeled:**

### **CONFIDENTIAL Audit Documents**

These documents were drawn from actual companies and are designed to be examples of genuine audit materials. Their format and contents have not been altered, and they are intended to represent working documents from everyday situations.

Although the documents for the Case Studies are presented separately, the test will be scored as a whole, on **a total of 150 questions**. You may go back and check your work on any part of the examination until time is called at the end of the testing period.

**GO ON TO THE NEXT PAGE**

Questions 1 – 5 Quality Electronics and Elements Company (See pages 3-5 in the Audit Documents booklet.)

Two auditors are conducting an internal audit of the Quality Electronics and Elements Co. (QEE) system procedures. During the first day of the audit, the following observations were made.

- An outbound carton with obvious damage was examined by the auditor on the shipping dock.
  - A shipment of six (6) boxes to Allied Supply was returned because the customer-required certifications did not accompany the product.
  - Unsigned product verification documents were found on stored products.
  - Of three (3) cartons found in the accepted materials station, only two of the cartons had labels indicating their contents. When the auditor pointed this out, a customer service representative immediately affixed the proper label to the one unlabeled carton.
  - The auditor also found that “Accepted Material Traveler Cards” were not attached to any of the cartons in the accepted materials station.
76. Which department is responsible for determining whether an outbound product has been damaged in handling or storage?
- (A) Inventory Control  
(B) Quality Assurance  
(C) Shipping  
(D) Engineering
77. Who is responsible for evaluating the adequacy of QEE’s handling and storage practices?
- (A) The shipping manager  
(B) Individual shipping and receiving clerks  
(C) The quality assurance manager  
(D) The customer service department
78. The auditor’s finding on products without “Accepted Material Traveler Cards” should be written against which of the following departments?
- (A) Production Control  
(B) Quality Assurance  
(C) Shipping  
(D) Engineering
79. During the second day of the audit, another unlabeled product container was delivered to the accepted materials station. When the auditor noted the lack of label, the auditee immediately filled out a label and affixed it to the container. In this situation, the auditor should do which of the following?
- (A) Write an observation that the auditee identified the container properly.  
(B) Write a finding because an improperly identified container could be shipped.  
(C) Write a finding against the Receiving department.  
(D) Write a finding to encourage a root cause analysis.
80. If the audit also revealed that customer-required certifications were not included with a shipment, a finding should be written against which department?
- (A) Quality Assurance  
(B) Purchasing  
(C) Production Control  
(D) Shipping

End of the Quality Electronics and Elements Company Questions

**END OF TEST**

**IF YOU FINISH BEFORE TIME IS CALLED,  
YOU MAY GO BACK AND CHECK YOUR WORK ON ANY PART OF THE TEST.**

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**The next section contains the second part of the CQA examination, the Audit Documents.**

**CONFIDENTIAL**  
**Audit Documents**

**For the SAMPLE EXAM**  
**CQA Case Study**

CQA Sample Exam

AUDIT DOCUMENTS

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intentionally.

# Quality Electronics and Elements Co.

## Packaging & Delivery

### Purpose

To establish procedures and responsibilities for material handling and shipping

### Policy

All fabricated parts and finished products shall be handled in a manner that provides protection from damage and ensures that customer requirements are satisfied. A final product verification shall be conducted prior to shipping product to the customer.

### Responsibilities

The quality assurance manager is responsible for the maintenance of this procedure.

The quality assurance manager shall monitor the handling of products and material to assure that practices are commensurate with the sensitivity of the products being handled, and that storage areas are adequate to prevent damage or deterioration of product.

The shipping and receiving clerks are responsible for ensuring that all materials are properly marked, packaged, transported, and stored and that applicable documents are sent with the product.

#### 1. Purchase orders and documentation

1. Shipping shall use the route sheet (shop copy) for handling, packaging, and shipping instructions, as appropriate.
2. The job packet shall be returned to Engineering when complete.

#### 2. Shipping product to outside vendors for processing

1. Prior to shipping any product, parts, materials, or assemblies to subcontractors for processing, the shipping clerk or a representative of the department is responsible for providing all required information.

#### 3. Identification, Packaging, and Installation

1. Refer to the documented work instructions for handling and identifying product, as appropriate.
2. Work instructions are intended to provide sufficient protection from handling-related damage and to ensure accurate product identification.
3. The Quality Assurance and Engineering departments are responsible for determining the procedures for controlling completed material, including shipping instructions.
4. Completed products awaiting packaging, preservation, and shipping shall be cleaned and stored so as to prevent damage from conditions occurring during handling and storage.
5. Shipping shall process all related documentation including packing slips, address labels, and inspection reports.
6. Shipping shall arrange for shipments per the instructions on the purchase order unless otherwise specified by the Quality Assurance department.
7. For finished products that are to be stored in house, Shipping shall attach the "Completed Work-in-Process" tag to the outside of the packaging.

## **WORK INSTRUCTION**

### **Material Handling and Shipping**

#### **Purpose**

To establish work instructions for material handling and shipping

#### **Responsibilities**

The Shipping Manager is responsible for the maintenance of this work instruction.

Shipping and receiving clerks are responsible for ensuring that all materials are properly marked, packaged, transported, and stored and that applicable documents are sent with the product.

#### **1. Purchase orders and documentation**

1. Shipping shall use the route sheet (shop copy) for handling, packaging, and shipping instructions.
2. The files shall be returned to Engineering when complete.

#### **2. Shipping product to outside vendors for processing**

1. Prior to shipping any product, parts, materials or assemblies to subcontractors for processing the shipping clerk or a representative of the department responsible for the item shall insure the required information is clearly defined.
  1. The type, class, style or grade of processing is required.
  2. The appropriate drawing is included.
  3. The specifications and relevant technical data are included.
  4. The inspection requirements are defined and included.
  5. The data have been reviewed and approved for adequacy.
2. Refer to the Receiving Inspection procedure for instructions on the proper receipt of processed materials.

#### **3. Identification, Packaging, and Installation**

1. The following instructions are intended to provide sufficient protection from handling-related damage and to ensure accurate product identification. Use these material handling and product identification instructions prior to shipping completed products.
  1. Parts and assemblies shall be placed in an appropriate container or area, with protective wrapping.
  2. The product or container shall be clearly identified.
  3. Shipping shall process orders only when all required certifications, test reports, and quality requirements are complete per QEE and customer requirements.
2. Upon quality acceptance, the quality manager or department managers shall initiate a shipping request by submitting to the Shipping Department instructions containing all pertinent shipping requirements.

3. Upon submitting these items to Shipping, the requesting manager shall enter the request in the “Shipping Log.” The purpose of this log is to document the job number, location, time, and date of all requests and shipments in an effort to ensure accurate and prompt deliveries.
4. The quality manager or project manager is responsible for determining the procedures for controlling completed material, including shipping instructions.
5. Prior to packaging, Shipping shall reconcile all parts and quantities with the packing slip and job purchase order. In addition, Shipping shall verify that parts have not been previously damaged during storage or handling.
6. Completed products awaiting packaging, preservation, and shipping shall be cleaned and stored to prevent damage from conditions occurring during handling and storage.
7. If any discrepancies or damage are found, Shipping shall place the materials in the “Rejected Material Holding Area” and immediately notify the appropriate project manager.
8. Upon satisfactory verification, Shipping shall package all materials in a manner that ensures product protection from handling and environmental damage.
9. Shipping shall process all related documentation including packing slips, address labels, and inspection reports.
10. Shipping shall arrange for shipments per the instructions on the purchase order unless otherwise specified by the project manager or quality manager.
11. If applicable, the project manager or quality manager is responsible for arranging the delivery of any special tools needed for handling or installing equipment.
12. For finished products that are to be stored in-house, Shipping shall attach the “Accepted Material Traveler Card” to the outside of the packaging.
  1. The card shall state the job number, quantity of each part, and part numbers of each item.
13. Shipping shall comply with size and weight requirements as set by individual carriers and as specified by the customer.
14. Shipping shall send with the product all applicable manuals and documentation for mechanical and electrical components.

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## APPENDIX A: Answer Sheet

For each sample test question, the correct answer is provided below along with the area of the body of knowledge (BOK) that the item is classified to. This sample examination is not intended to represent all areas of the BOK but to provide a sampling from each major topic area. All ASQ examinations are based on the BOK for that particular exam. To view the BOK for CQA, please go to <http://www.asq.org/certification/quality-auditor/bok.html>

Question	BOK	Correct Answer
1	I.A.	D
2	I.C.	A
3	II.B.3	B
4	II.A.6	B
5	II.B.4	D
6	II.D.2	C
7	V.A.	A
8	V.A.	B
9	II.D.2	B
10	II.C.2	B
11	III.E.	C
12	III.C.	A
13	V.C.	B
14	II.A.4	D
15	I.F.3	C
16	III.D.	D
17	I.D.	B
18	II.B.5	C
19	V.D.	B
20	II.C.1	A
21	II.B.3	A
22	II.A.6	D
23	II.D.2	C
24	II.C.1	D
25	V.D.	B
26	V.F.	D
27	II.B.6	B
28	IV.A.	A
29	II.B.6	C
30	V.D.	B
31	III.A.	A
32	V.B.	B
33	IV.B.6	B
34	V.A.	A
35	II.B.7	A
36	IV.B.6	D
37	II.D.4	D
38	I.A.	D
39	IV.A.	C
40	I.F.2	B

Question	BOK	Correct Answer
41	III.E.	D
42	II.A.6	D
43	III.A.	C
44	V.F.	D
45	III.E.	A
46	I.E.	C
47	III.B.	B
48	II.C.1	A
49	I.E.	B
50	II.D.2	B
51	II.C.2	D
52	I.E.	A
53	IV.B.6	B
54	II.D.2	D
55	V.A.	C
56	II.B.2	D
57	I.B.	A
58	II.C.3	A
59	II.A.3	C
60	V.C.	A
61	III.E.	D
62	III.G.	A
63	IV.A.	B
64	II.D.3	B
65	II.A.1	D
66	II.B.4	D
67	IV.B.4	D
68	II.B.7	D
69	II.A.5	B
70	II.B.2	B
71	I.C.	C
72	II.B.8	D
73	I.F.3	C
74	I.C.	B
75	III.B.	C
76	II.B.2	C
77	II.B.2	C
78	II.B.2	C
79	II.B.5	D
80	II.B.6	D

**APPENDIX B: Analyzing Body of Knowledge (BOK) Content**

The following worksheet can be used to help you analyze the results of your answers on this sample examination. It can be used to determine which areas of the body of knowledge (BOK) you may want to study.

After learning which sample test questions you had correct, total the number you had correct and enter that number into the 2<sup>nd</sup> column of the worksheet. The 3<sup>rd</sup> column provides the total number of test questions that are in this sample examination for that major area of the BOK. The last column provides the total number of test questions that appear in a formal ASQ examination for that area of the BOK.

<b>BOK Topic Area</b>	<b>Total You Had Correct on Sample Exam</b>	<b>Total in the Sample Exam</b>	<b>Total in Formal ASQ Exam</b>
I. Auditing Fundamentals		13	<i>30</i>
II. Audit Process		37	<i>60</i>
III. Auditor Competencies		11	<i>23</i>
IV. Audit Program and Business Applications		7	<i>15</i>
V. Quality Tools and Techniques		12	<i>22</i>
<b>GRAND TOTAL</b>		<b>80</b>	<b><i>150</i></b>