



CQA

Certified Quality Auditor
Exam Summary – Syllabus – Questions



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Introduction to CQA Exam on Certified Quality Auditor

To achieve the professional designation of Certified Quality Auditor from the ASQ, candidates must clear the CQA Exam with the minimum cut-off score. For those who wish to pass the ASQ CQA certification exam with good percentage, please take a look at the following reference document detailing what should be included in ASQ Quality Auditor Exam preparation.

The ASQ CQA Exam Summary, Body of Knowledge (BOK), Sample Question Bank and Practice Exam provide the basis for the real ASQ Certified Quality Auditor exam. We have designed these resources to help you get ready to take Certified Quality Auditor (CQA) exam. If you have made the decision to become a certified professional, we suggest you take authorized training and prepare with our online premium [ASQ Quality Auditor Practice Exam](#) to achieve the best result.

ASQ CQA Certification Details:

Exam Name	Certified Quality Auditor
Exam Code	CQA
Exam Fee	USD \$498
Retakes	USD \$298
ASQ Member	USD \$348
Application	USD \$70
Exam Duration	330 Minutes
Number of Questions	165
Passing Score	550/750
Format	Multiple Choice
Books	Certified Quality Auditor Certification Preparation The ASQ Auditing Handbook, Fourth Edition
Schedule Exam	Book Your Exam
Sample Questions	ASQ CQA Exam Sample Questions and Answers
Practice Exam	ASQ Certified Quality Auditor Practice Test

ASQ CQA Exam Syllabus:

I. Auditing Fundamentals (27 Questions)	
A. Types of quality audits	<p>1. Method - Define, differentiate, and analyze various audit types by method: product, process, desk, department, function, element, system, management. (Analyze)</p> <p>2. Auditor-auditee relationship - Define, differentiate, and analyze various audit types by auditor-auditee relationship: first-party, second-party, third-party, internal and external. (Analyze)</p> <p>3. Purpose - Define, differentiate, and analyze various audit types by purpose: verification of corrective action (follow-up) audits, risk audits, accreditation (registration) and compliance audits, surveillance and for-cause audits. (Analyze)</p> <p>4. Common elements with other audits - Identify elements such as audit purpose, data gathering techniques, tracing, etc., that quality audits have in common with environmental, safety, financial, and other types of audits. (Apply)</p>
B. Purpose and scope of audits	<p>1. Elements of purpose and scope - Describe and determine how the purpose of an audit can affect its scope. (Apply)</p> <p>2. Benefits of audits - Analyze how audits can be used to provide an independent assessment of system effectiveness and efficiency, risks to the bottom line, and other organizational measures. (Analyze)</p>
C. Criteria to audit against	- Define and distinguish between various audit criteria, such as external (industry, national, international) standards, contracts, specifications, quality awards, policies, internal quality management system (QMS), sustainability, social responsibility, etc. (Analyze)
D. Roles and responsibilities of audit participants	- Define and describe the functions and responsibilities of various audit participants, including audit team members, lead auditor, client, auditee, etc. (Apply)
E. Professional conduct and consequences for auditors	<p>1. Professional conduct and responsibilities - Define and apply the ASQ Code of Conduct, concepts of due diligence and due care with respect to confidentiality and conflict of interest, and appropriate actions in response to the discovery of illegal activities or unsafe conditions. (Apply)</p> <p>2. Legal consequences</p>

	<ul style="list-style-type: none"> - Identify potential legal and financial ramifications of improper auditor actions (carelessness, negligence, etc.) in various situations, and anticipate the effect that certain audit results can have on an auditee's liability. (Apply) 3. Audit credibility <ul style="list-style-type: none"> - Identify and apply various factors that influence audit credibility, such as auditor independence, objectivity, and qualifications. (Apply)
<p>II. Audit Process (42 Questions)</p>	
<p>A. Audit preparation and planning</p>	<ol style="list-style-type: none"> 1. Elements of the audit planning process <ul style="list-style-type: none"> - Evaluate and implement the basic steps in audit preparation and planning: verify audit authority; determine the purpose, scope, and type of audit; identify the requirements to audit against and the resources necessary, including the size and number of audit teams. (Evaluate) 2. Auditor selection <ul style="list-style-type: none"> - Identify and examine various auditor selection criteria, such as education, experience, industry background, and subject matter or technical expertise. (Analyze) 3. Audit-related documentation <ul style="list-style-type: none"> - Identify the sources of pre-audit information and examine audit-related documentation, such as audit criteria references and results from prior audits. (Analyze) 4. Logistics <ul style="list-style-type: none"> - Identify and organize audit-related logistics, including travel, safety and security considerations, the need for escorts, translators, confidentiality agreements, clear right of access, etc. (Analyze) 5. Auditing tools and working papers <ul style="list-style-type: none"> - Identify the sampling plan or method and procedural guidelines to be used for the specific audit. Select and prepare working papers (checklists, log sheets, etc.) to document the audit. (Create) 6. Auditing strategies <ul style="list-style-type: none"> - Identify and use various tactical methods for conducting an audit, such as forward and backward tracing, discovery, etc. (Apply)
<p>B. Audit performance</p>	<ol style="list-style-type: none"> 1. On-site audit management <ul style="list-style-type: none"> - Interpret situations throughout the performance of the audit to determine whether time is being managed well and when changes need to be made, such as revising planned audit team activities, reallocating resources, adjusting the audit plan, etc., and communicate with the auditee about any changes or other events related to the audit. (Analyze)

	<p>2. Opening meeting - Manage the opening meeting of an audit by identifying the audit's purpose and scope, describing any scoring or rating criteria that will be used during the audit, creating a record of the attendees, reviewing the audit schedule, and answering questions as needed. (Apply)</p> <p>3. Audit data collection and analysis - Use various data collection methods to capture information: conducting interviews, observing work activities, taking physical measurements, examining documents, etc. Evaluate the results to determine their importance for providing audit evidence. (Evaluate)</p> <p>4. Establishment of objective evidence - Identify and differentiate characteristics of objective evidence, such as observed, measured, confirmed or corroborated, and documented. (Analyze)</p> <p>5. Organization of objective evidence - Classify evidence in terms of significance, severity, frequency, and level of risk. Evaluate the evidence for its potential impact on product, process, system, cost of quality, etc., and determine whether additional investigation is required to meet the scope of the audit. (Evaluate)</p> <p>6. Exit and closing meetings - Formally manage these meetings: reiterate the audit's purpose, scope, and scoring or rating criteria, and create a record of the attendees. Present the audit results and obtain concurrence on evidence that could lead to an adverse conclusion. Discuss the next steps in the process (follow-up audit, additional evidence-gathering, etc.), and clarify who is responsible for performing those steps. (Apply)</p>
<p>C. Audit reporting</p>	<p>1. Report development and content - Group observations into actionable findings of significance, and identify the severity and risk to the client and the auditee. Use appropriate steps to generate the audit report: organize and summarize details, review and finalize results, emphasize critical issues, establish unique identifiers or codes for critical issues to facilitate tracking and monitoring, etc. (Create)</p> <p>2. Effective reports - Develop and evaluate components of effective audit reports, including background information, executive summary, prioritized results (observations, findings, opportunities for improvement, etc.). Use graphical tools or other means of emphasizing conclusions, and develop a timeline for auditee response and/or corrections. (Create)</p> <p>3. Final audit report steps - Obtain necessary approvals for the audit report and distribute</p>

	it according to established procedures. Identify the contents of the audit file and retain the file in accordance with established policies and procedures. (Apply)
D. Audit follow-up and closure	<ol style="list-style-type: none"> 1. Elements of the corrective action process <ul style="list-style-type: none"> - Identify and evaluate various elements: assignment of responsibility for problem identification; the performance of root cause analysis and recurrence prevention. (Evaluate) 2. Review of corrective action plan <ul style="list-style-type: none"> - Evaluate the acceptability of proposed corrective actions and schedule for completion. Identify and apply strategies for negotiating changes to unacceptable plans. (Evaluate) 3. Verification of corrective action <ul style="list-style-type: none"> - Determine the adequacy of corrective actions taken by verifying and evaluating new or updated procedures, observing revised processes, conducting follow-up audits, etc. (Evaluate) 4. Follow-up on ineffective corrective action <ul style="list-style-type: none"> - Develop strategies to use when corrective actions are not implemented or are not effective, such as communicating to the next level of management, reissuing the corrective action request, and re-auditing. (Create) 5. Audit closure <ul style="list-style-type: none"> - Identify and apply various elements of, and criteria for, audit closure. (Apply)
III. Auditor Competencies (25 Questions)	
A. Auditor characteristics	- Identify characteristics that make auditors effective: interpersonal skills, problem-solving skills, attention to detail, cultural awareness and sensitivity, ability to work independently as well as in a group or on a team, etc. (Apply)
B. On-site audit resource management	- Identify and apply techniques for managing audit teams, scheduling audit meetings and activities, making logistical adjustments, etc. (Apply)
C. Conflict resolution	- Identify typical conflict situations (mild to vehement disagreements, auditee delaying tactics, interruptions, etc.) and determine appropriate techniques for resolving them: clarifying the question or request, reiterating ground rules, intervention by another authority, cool-down periods, etc. (Analyze)
D. Communication and presentation techniques	- Select and use written, oral, and electronic communication techniques for presentations made during audits for opening, closing, ad hoc meetings, etc. Use technical and managerial reporting techniques, including graphs, charts, diagrams, multimedia aids, etc., in various situations: domestic, global, in-person, virtual (e-audits), multiple sites simultaneously, etc.

	(Evaluate)
E. Interviewing techniques	<p>- Select and use appropriate interviewing techniques and methodologies. (Apply)</p> <ol style="list-style-type: none"> 1. Use open-ended or closed question types 2. Use active listening, paraphrasing, empathy, etc. 3. Recognize and respond to nonverbal cues: body language, the significance of pauses and their length, etc. 4. Determine when and how to prompt a response: when supervisors are present, when interviewing a group of workers, when using a translator, etc.
F. Team dynamics	<p>- Define, describe, and apply various aspects of team dynamics. (Apply)</p> <ol style="list-style-type: none"> 1. Team-building: clarifying roles and responsibilities for participants and leaders to ensure equitable treatment for all team members, providing clear direction for deliverables, identifying necessary resources and ensuring their availability, etc. 2. Team facilitation: providing coaching and guidance, defusing clashes between members, eliciting input from all, cultivating objectivity, overseeing progress, encouraging diverse views and consensus, etc. 3. Stages of team development: forming, storming, norming, and performing
<p>IV. Audit Program Management and Business Applications (30 Questions)</p>	
A. Audit program management	<ol style="list-style-type: none"> 1. Senior management support <ul style="list-style-type: none"> - Identify and explain management’s role in creating and supporting the audit function. (Understand) 2. Staffing and resource management <ul style="list-style-type: none"> - Develop staffing budgets that provide adequate time for auditors to plan, conduct, and respond to scheduled audits, including time and resources that internal auditees need to participate. Identify any special equipment resources needed and ensure their adequacy and availability. Consider the use of and requirements for special audits (outsourced or contracted audits, virtual or e-audits, shared audits, etc.) as driven by costs, geography, etc. Evaluate results and adjust resources as needed on a regular basis. (Evaluate) 3. Auditor training and development <ul style="list-style-type: none"> - Identify minimum audit knowledge and skill requirements for auditors. Provide training on various aspects of the audit process such as relevant standards, regulatory influences, facilitation techniques, etc. Provide training on diversity and cultural

	<p>influences (ethnicity, gender, age, organized labor, etc.) and how such factors can affect communications and other interactions among audit participants. (Create)</p> <p>4. Audit program evaluation - Select the correct metric to evaluate the audit program, including tracking its effect on the bottom line and the risk to the organization. (Evaluate)</p> <p>5. Internal audit program management - Develop procedures, policies, and schedules to support the organization's objectives. Review internal audit results to identify systemic trends. (Create)</p> <p>6. External audit program management - Develop procedures, policies, and schedules in support of the supplier management program, including supplier qualification surveys, surveillance audits, supplier improvement, etc. (Create)</p> <p>7. Best practices - Analyze audit results to standardize best practices and lessons learned across the organization. (Analyze)</p> <p>8. Organizational risk management - Analyze how the audit program affects an organization's risk level and how the risk level can influence the number and frequency of audits performed. (Analyze)</p> <p>9. Management review input - Examine and summarize audit program results, trends, and changes in risk to provide input to management reviews. (Evaluate)</p>
<p>B. Business and financial impact</p>	<p>1. Auditing as a management tool - Use audit results to monitor continuous improvement, supplier management, customer satisfaction, etc., and to provide management with an independent view of the strategic plan's effectiveness and how well it is deployed. (Analyze)</p> <p>2. Interrelationships of business processes - Identify how business units (receiving, product and process design, production, engineering, sales, marketing, field support, etc.) and multiple sites are interrelated, and recognize how their unique metrics and goals can be in conflict with one another. (Understand)</p> <p>3. Cost of quality (COQ) principles - Identify, describe, and analyze the audit program's effect on the four COQ categories: prevention, appraisal, internal failure, external failure. (Analyze)</p> <p>4. Emerging roles of the auditor - Recognize new roles and responsibilities for auditors, such as being process consultants and facilitators who can help resolve internal issues, improve processes, and add value to the organization. (Understand)</p>

V. Quality Tools and Techniques (26 Questions)	
A. Basic quality and problem-solving tools	- Identify, interpret, and analyze: 1) Pareto charts, 2) cause and effect diagrams, 3) flowcharts, 4) statistical process control (SPC) charts, 5) check sheets, 6) scatter diagrams, 7) histograms, 8) root cause analysis, 9) plan-do-check-act (PDCA). (Analyze)
B. Process improvement techniques	1. Six Sigma - Identify, interpret, and apply the Six Sigma DMAIC phases: define, measure, analyze, improve, control. (Apply) 2. Lean - Identify, interpret, and apply lean tools: 5S, standard operations, kanban (pull), error-proofing, valuemstream mapping, etc. (Apply)
C. Basic statistics	1. Measures of central tendency - Identify, interpret, and use mean, median, and mode. (Apply) 2. Measures of dispersion - Identify, interpret, and use standard deviation and frequency distribution. (Apply) 3. Qualitative and quantitative analysis - Describe qualitative data in terms of the nature, type, or attribute of an observation or condition. Describe how quantitative data is used to detect patterns or trends and how such analysis can indicate whether a problem is systemic or isolated. (Understand)
D. Process variation	1. Common and special cause - Identify and distinguish between common and special cause variation. (Apply) 2. Process performance metrics - Describe elements of Cp and Cpk process capability studies (process centering and stability, specification limits, underlying distribution, etc.), and how these studies and other performance metrics are used in relation to established goals. (Understand) 3. Outliers - Describe their significance and impact. (Understand)
E. Sampling methods	1. Acceptance sampling plans - Identify and interpret these plans for attributes and variables data. (Understand) 2. Types of sampling - Describe and distinguish between random, stratified, and cluster sampling, and identify the uses and potential problems of nonstatistical sampling. (Understand) 3. Sampling terms - Define related terms including consumer and producer risk,

	confidence level, etc. (Understand)
F. Change control and configuration management	- Identify the principles of change control and configuration management systems as used in various applications: hardware, software (including security considerations), product, process, and service. (Understand)
G. Verification and validation	- Define, distinguish between, and use various methods of verifying and validating processes. (Analyze)
H. Risk management tools	- Identify methods for managing risk, including risk avoidance, mitigation, tradeoffs, etc., and describe tools and methods for estimating and controlling risk: failure mode and effects analysis (FMEA), hazard analysis and critical control points (HACCP), critical to quality (CTQ) analysis, health hazard analysis (HHA), etc. (Understand)

CQA Sample Questions:

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

Please choose the correct answer.

- a) Initiation
- b) Preparation
- c) Closing
- d) Reporting

02. An internal audit schedule should be prioritized on the basis of all of the following criteria EXCEPT the

Please choose the correct answer.

- a) cost of the activities
- b) risk of the activities
- c) size of the auditee's department
- d) management's requests

03. Who makes the final determination regarding the distribution of the audit report?

Please choose the correct answer.

- a) The lead auditor
- b) The audit group manager
- c) The auditee
- d) The client

04. Which of the following best describes a frequency distribution?

Please choose the correct answer.

- 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

05. The fraction of nonconforming products is plotted on which of the following types of control charts?

Please choose the correct answer.

- a) p chart
- b) u chart
- c) np chart
- d) c chart

06. Which of the following represents a sound time-management technique?

Please choose the correct answer.

- 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

07. During the closing meeting, the lead auditor should do which of the following?

Please choose the correct answer.

- 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.

08. An auditee is likely to be most threatened by an auditor's use of which of the following interviewing techniques?

Please choose the correct answer.

- 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

09. Which of the following types of tools or techniques is considered qualitative?

Please choose the correct answer.

- a) Histograms
- b) Frequency distributions
- c) Pareto charts
- d) Process observations

10. The accuracy of quality audit documentation is especially important in which of the following situations?

Please choose the correct answer.

- 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.

Answers to CQA Exam Questions:

Question: 01 Answer: b	Question: 02 Answer: c	Question: 03 Answer: d	Question: 04 Answer: a	Question: 05 Answer: a
Question: 06 Answer: c	Question: 07 Answer: d	Question: 08 Answer: d	Question: 09 Answer: d	Question: 10 Answer: b

Note: If you find any typo or data entry error in these sample questions, we request you to update us by commenting on this page or write an email on feedback@processexam.com