



Free Questions for ISO-9001-Lead-Auditor

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Question 1

Question Type: MultipleChoice

An audit team leader arrives at a printing organisation to carry out a Stage 2 audit for a certification body. At a meeting with the Quality Manager, she is told that they have won their biggest contract from a computer

manufacturer to print and compile computer documentation packages. They have leased the unit next door for space reasons but have never worked in this sector before. The Quality Manager wants the ISO 9001

certificate to cover the new contract.

Which one of the options is the correct response by the auditor?

Options:

- A- Do you realise that this involves an extension to the scope of the audit and will require an application process?
- B- How can we audit this area when we do not have an IT specialist in the team?
- C- Would you like a separate certificate for the IT packages to show your new client?
- D- Would you mind writing to my programme manager with this request?

Answer:

A

Explanation:

When an organization wishes to extend the scope of their current certification to include new services or activities, such as the printing and compilation of computer documentation packages, it requires an extension to the scope of the audit. This involves a formal application process with the certification body to ensure that the new activities are included in the audit plan and that the organization's quality management system encompasses these new processes¹². Reference: = The answer is based on the ISO 9001 Auditing Practices Group guidance on scope and applicability, which outlines the need for a formal application process when there is a change in the scope of the quality management system that affects the certification¹. Additionally, the UKAS guide on the extension to scope (ETS) process provides information on how changes to the scope, including the addition of new services, require a formal application².

Question 2

Question Type: MultipleChoice

You have been just hired as the Internal Lead Auditor of a large organisation, responsible for internal audits. Your first job is to analyse the answers to nonconformities included in the report of a recent internal audit to Top Management.

The report contained one nonconformity as follows:

There is no evidence of Top Management ensuring the availability of resources to operate the QMS, the establishment of objectives, the promotion of continual improvement, and the promoting of the process approach.

Which four of the following Top Management actions can be considered 'corrections to the nonconformity'?

Options:

- A- Top Management appoints a senior manager to oversee the quality management system
- B- Top Management completed a course on ISO 9001
- C- All these actions will be reviewed during the Top Management meetings
- D- Improvement action has been promoted
- E- Objectives have been established
- F- Process approach has been communicated to the personnel
- G- Resources have been provided
- H- Top Management review will be carried out every six months instead of annually

Answer:

E, F, G, H

Question 3

Question Type: MultipleChoice

TIX provides services to the informatic equipment of large organisations. They operate an ISO 9001:2015 QMS that is being audited by an important

customer (second-party audit). During the audit, the audit team has identified two nonconformities. When preparing the Closing meeting, the audit

team discussed and agreed both nonconformities with TIX's quality manager. The Closing meeting was planned for 6pm with the general manager,

quality manager and service manager at the meeting room.

At 6pm, when the audit team enters the meeting room, only two people are present and waiting for them: the Health and Safety supervisor and the

warehouse supervisor. Neither have participated in the audit.

The dialogue among them is as follows:

Audit team leader: "Good evening, could you please inform the three managers that we are ready to start with the Closing meeting?"

Health and Safety supervisor: "Good evening. We are sorry to inform you that the general manager was involved in a serious car accident, and

the other two managers have had to leave urgently to attend the emergency."

Warehouse supervisor: "They have asked us to listen to what you need to say and to sign whatever we need to sign. We also have a message

from them about the two nonconformities. They wanted us to ask you if you could contact them in a couple of days to determine how to proceed."

Which one of the following options would be your preferred response to the final comment made by the warehouse manager?

Options:

A- Sorry, but we cannot proceed with the Closing meeting. So, we are leaving now, and please tell the quality manager that I will phone him tomorrow early in the morning.

B- We will hear what you were asked to tell us and will ask you to sign the nonconformity reports as evidence that you have accepted them. Please ask the managers to contact us as soon as the emergency is over to agree on a new date to complete the Closing meeting.

C- We will hear what you were asked to tell us and will leave copies of the nonconformity reports that have been agreed with the quality manager. Please tell the managers that we will consider this as the Closing meeting and that the individual(s) managing the audit programme will send the full report in five days.

D- We will hear what you were asked to tell us and will then leave. Please ask the managers to contact us as soon as the emergency is over to agree on a new date to carry out the Closing meeting.

Answer:

D

Question 4

Question Type: MultipleChoice

You are carrying out an audit at an organisation seeking certification to ISO 9001 for the first time. The organisation offers health and safety training to customers. Training courses are offered either as open courses, delivered at a public venue, or online, or as courses that are tailored to meet specific requirements. The business operates from a single office and those who deliver the training are either full-time employees or subcontractors.

You are interviewing the Training Manager (TM).

You: "What quality objectives apply to the training process?"

TM: "One of the quality objectives we aim for is a 90% minimum exam pass rate for all open training courses."

You: "How do you measure this objective?"

The Training Manager shows you a record on her computer and you see the following:

Month	Exam pass rates (%)					
	Course 1	Course 2	Course 3	Course 4	Course 5	Course 6
1	92	87	89	78	95	97
2	93	86	88	77	94	98
3	94	87	87	79	93	97
4	92	89	86	80	95	96
5	93	88	88	79	96	95
6	95	87	89	77	96	97

Which two of the following statements are true?

Options:

- A- You would check the training of personnel.
- B- You would determine how the exam pass rate figures were analysed.
- C- You would determine the relative difficulty of each training course by reviewing them.
- D- You would determine what corrective action was being taken to address the low pass rates.
- E- You would raise a nonconformity as a requirement in clause 10.2 has not been fulfilled.
- F- You would raise a nonconformity as a requirement in clause 8.7 has not been fulfilled.

Answer:

B, D

Question 5

Question Type: MultipleChoice

Select one of the options that best describes the purpose of conducting a document review:

Options:

- A- To establish nonconformity in the documented system with audit criteria and to gather information to compile the audit report.
- B- To confirm the conformity of the system, where documented, with audit criteria and to gather information to support the audit findings.
- C- To reveal whether the documented system is nonconforming with audit criteria and to gather evidence to support the audit report.
- D- To decide about the conformity of the documented system with audit standards and to gather findings to support the audit process.
- E- To detect any nonconformity of the system, if documented, with audit criteria and to identify information to support the audit plan.
- F- To determine the conformity of the system, as far as documented, with audit criteria and to gather information to support the audit activities.

Answer:

F

Explanation:

The purpose of conducting a document review is to determine the conformity of the system, as far as documented, with audit criteria and to gather information to support the audit activities. A document review is a systematic and objective examination of the documented information that is relevant to the audit objectives and scope. It can help the auditor to verify if the documented information is complete, accurate, consistent, and up-to-date. It can also help the auditor to identify any gaps, errors, or nonconformities in the documented information that may affect the audit findings or conclusions.

The other options are not correct because they do not reflect the true purpose of a document review. Option A describes the purpose of an audit report, which is to communicate the audit results and recommendations to the management and other interested parties. Option B describes the purpose of an audit plan, which is to define the scope, objectives, criteria, methods, resources, and schedule of an audit. Option C describes the purpose of an audit evidence report, which is to provide evidence of nonconformities or opportunities for improvement identified

during an audit. Option D describes the purpose of an audit decision report, which is to justify or explain why certain decisions were made during an audit.

I hope this answer helps you understand why option F is correct and why options A-C-D are incorrect. If you want to learn more about ISO 9001 Lead Auditor exam questions and answers, you can check out some of these resources:

[ISO 9001 Lead Auditor Sample Exam Questions and Answers](#): This article provides some sample questions and answers for each section of the ISO 9001 Lead Auditor exam.

[ISO 9001 \(QMS\) Lead Auditor Quiz Questions and Answers](#): This article provides some quiz questions and answers on various topics related to ISO 9001 QMS.

[ISO 9001 Lead Auditor - Exam Practice Tests](#): This course offers practice tests with explanations for each question.

[Ircs Lead Auditor Exam Questions And Answers Pdf](#): This document contains some exam questions and answers in PDF format.

Question 6

Question Type: MultipleChoice

An internal auditor of a manufacturer of polystyrene packaging products for the electronics industry raised a nonconformity against

section 10.3 of ISO 9001 in Report IA202. The nonconformity (NC 3) stated:

"The reject rate of 'finished' product of 9.7% needs improvement as it doesn't meet the stated objective of top management of 5%."

Just before the Closing meeting of a third-party audit, the audit team leader is invited to a meeting with the Quality Manager. He tells

the audit team leader that a member of the audit team was seen taking photographs of the factory on his phone during the day and

wants him suspended from the Closing meeting with any nonconformities raised by him rescinded. The issue of photographs was not

discussed during the opening meeting.

Select the three options for how the audit team leader might deal with this situation.

Options:

- A- Advise the Quality Manager that he, as audit team leader, needs to speak to the auditor about the situation and he will report back to the Quality Manager once this is done
- B- Advise the Quality Manager that the auditor will be reported to Head Office
- C- Apologise for the situation and ensure the Quality Manager that all photographs will be deleted during the Closing meeting
- D- Delay the Closing meeting until the audit team leader has consulted his audit programme manager at Head Office
- E- Insist that the nonconformities must stand since they have been agreed by the team from other evidence gathered
- F- State that the auditor will take no further part in the audit and all his photographs will be deleted

Answer:

A, D, E

Question 7

Question Type: MultipleChoice

You work for an organisation, 'A', which provides packaged food to the public. You are asked to lead a team (you as the leader and two other

auditors) to audit a supplier, 'B', which provides packaging materials to your organisation. It is 4 p.m. and the audit is close to an end; you are having

an internal meeting with the team to decide what will be presented to the auditee during the Closing meeting. The Closing meeting was scheduled

for 5 p.m.

You, as audit team leader, audited top management, the laboratory, and the storage of raw materials.

Auditor 1 audited the two manufacturing lines and dispatch areas.

You to Auditor 1: "What findings would you report?"

Auditor 1: "When reviewing the Dispatch records, I noticed that during the morning two different trucks (Number 011 and 025) delivered the same

batch number of the product (Batch 33555). Truck 011 left the plant at 9.15 am and Truck 025 left the plant at 11.30 am. Procedure P-02 Rev.3 says

that trucks should carry a complete batch. The batch number, once on the truck, is captured using a QR device."

You: "OK, what do you think?"

Auditor 2: "I think that this is a nonconformity."

You: "OK. How would you describe the evidence on which the nonconformity will be based"?

Identify which one of the following statements best describes the identified nonconformity.

Options:

- A- Dispatch personnel are not fully aware of the need to conform to written procedures.
- B- Dispatch personnel do not always carry out its activities in conformance with Procedure P-02 rev 3.
- C- The batch 33555 was delivered split in two different trucks (011 and 025).
- D- A product delivered to the client was not identified as required in P-02 Rev 3.

Answer:

C

Explanation:

According to the definition in ISO 9000, a nonconformity is "non-fulfillment of a requirement". There are three parts to a well-documented nonconformity: the audit evidence to support auditor findings; a record of the requirement against which the nonconformity is detected; and the statement of nonconformity¹. In this case, the audit evidence is the dispatch records that show the same batch number of the product being delivered by two different trucks at different times. The requirement is the procedure P-02 Rev.3 that says that trucks should carry a complete batch. The statement of nonconformity is that the batch 33555 was delivered split in two different trucks (011 and 025), which does not conform to the procedure. Therefore, option C best describes the identified nonconformity, as it includes all three parts of a well-documented nonconformity. Option A is not correct, as it does not state the audit evidence or the requirement. Option B is not correct, as it does not specify the audit evidence or the statement of nonconformity. Option D is not correct, as it does not match the audit evidence or the requirement. Reference: 1: ISO 9001 Auditing Practices Group Guidance on Nonconformity - Documenting.

Question 8

Question Type: MultipleChoice

'XYZ' has already sent to you a list with all documented procedures and work instructions related

to the services provided to 'ABC' (a quality manual is not included in the list).

To complete the audit planning which additional information would you ask to XYZ to submit?
Select four.

Options:

- A- XYZ's organisational structure
- B- The quality manual
- C- A description of responsibilities and authorities of the key roles of XYZ
- D- The number of personnel involved in activities related to the quality management system
- E- Information to understand XYZ's operations
- F- The results of XYZ's last internal audit
- G- The results of the last two management reviews
- H- The list of risks and opportunities determined by XYZ

Answer:

A, C, D, E

Explanation:

The ISO 9001 Lead Auditor exam requires the auditor to have a thorough understanding of the ISO 9001:2015 standard and its requirements, as well as the organization's context, processes, risks, opportunities, and performance. Therefore, the auditor needs to ask for additional information that can help them verify these aspects during the audit planning stage. Some of the information that can be useful are:

A description of responsibilities and authorities of the key roles of XYZ: This can help the auditor to identify who is accountable for what in the organization and how they communicate with each other.

The number of personnel involved in activities related to the quality management system: This can help the auditor to assess if there are enough resources and competencies to support the QMS implementation and operation.

Information to understand XYZ's operations: This can help the auditor to understand how XYZ produces or delivers its products or services and what are its main processes and inputs.

The results of XYZ's last internal audit: This can help the auditor to evaluate if XYZ has implemented corrective actions based on previous audit findings and if it has maintained its QMS effectiveness.

The results of the last two management reviews: This can help the auditor to determine if XYZ has monitored its QMS performance against its objectives and if it has identified any significant

changes or opportunities for improvement.

The quality manual (B) is not a required document for ISO 9001 certification, but it may be useful for internal reference or training purposes. It is not necessary for audit planning.



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