



Free Questions for ISO-9001-Lead-Auditor

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Question 1

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 2

Question Type: MultipleChoice

A Health Trust has contracted with Servitup, a catering services company that has been certified to ISO

9001 for one year. It provides services to 10 small rural hospitals in remote locations involving the

purchase and storage of dry goods and fresh produce, preparing meals and loading heated trolleys for

ward service by hospital staff. You, as auditor, are conducting the first surveillance audit at one site with

the Deputy Catering Manager (DCM).

DCM: "I apologise for the absence of the Catering Manager. He has called in sick today and we are really

short of staff."

You: "I see. It really shouldn't affect the QMS so the audit can progress as normal."

DCM: "The Catering Manager set up the system. I'm afraid I'm not as familiar with it as he is."

You: "OK, let's start with the Quality Policy. What are the main issues for the QMS here?"

DCM: Give me a minute. I need to look at the Quality Policy on the noticeboard in his office.

You find that two internal audits have been carried out in the first year by the Catering Manager. One of

them indicates that complaints from patients are increasing in number, mainly due to food being served

too cold. The DCM comments that the trolley thermometer is often unreliable.

Which two of the following actions would be "correction" in dealing with the complaints?

Options:

- A- Calibrate thermometers more frequently to ensure accuracy of readings for food temperature on the trolleys.
- B- Keep a spare thermometer in case of a thermometer malfunction.
- C- Monitor and record the temperature of food on the trolleys against defined standards before release to the wards.
- D- Plug trolleys into ward electricity sockets to heat food to the correct temperature after a patient complains.
- E- Purchase a new thermometer to replace the unreliable one used for the ward trolleys.
- F- Request ward staff to test the temperature of the food on the plates before serving to patients.

Answer:

A, E

Question 3

Question Type: MultipleChoice

You are conducting a Stage 1 audit at an organisation that services refrigeration equipment for a large customer base.

The scope of certification is "Provision of refrigeration equipment maintenance and repair services". You are interviewing

the Managing Director to learn more about the organisation and to explore how the requirements for policy, objectives,

and risks and opportunities in ISO 9001 are addressed.

The Managing Director explains that they only use sub-contract refrigeration engineers and do not have any full-time

refrigeration engineers, which helps to optimise overhead costs. The full-time staff employed are essentially a small team

of office staff who process customer enquiries, schedule jobs and process invoices.

The Managing Director adds that the ISO 9001 requirements for competence of personnel extends to both sub-contract

and full-time staff. He also states that the full-time staff are aware of the Quality Policy, objectives and plans to address

risk and opportunities.

You ask if the sub-contract engineers have been informed of the Quality Policy, objectives and plans to address risks and

opportunities, to which the Managing Director replies that this is not applicable as they only use sub-contractors who

operate ISO 9001 certificated quality management systems. The documented information provided to the auditor

confirms this.

Which clause in ISO 9001 is most likely not to have been fulfilled in this instance?

Options:

A- 7.2 Competence

B- 7.3 Awareness

C- 7.4 Communication

D- 7.5 Documented information

Answer:

C

Explanation:

Questions no: 16 Verified Answer: = C. 7.4 Communication Comprehensive But Short =



Question 4

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 5

Question Type: MultipleChoice

You are an auditor from a construction organisation who is conducting a second party audit to ISO 9001 at a steel rolling mill producing

structural steelwork. When auditing the rolling process, you find that the operator who is unloading the furnace does not use the

adjacent infrared pyrometer to measure the appropriate product temperature in readiness for the next production stage.

You: "How do you tell when the billet is ready for the rolling stage?"

Operator: "I've done this job for 20 years. I can tell by the bright red colour."

You: "What happens if the colour is wrong?"

Operator: "The billet goes back into the furnace."

You: "Is the pyrometer ever used?"

Operator: "Only in borderline cases."

You continue to interview the operator and find that around 25% of the billets are sent back to the furnace. This includes 80% of the borderline cases.

Select three options that would provide evidence of conformance with clause 9.1.1 of ISO 9001.



Options:

- A- Periodic analysis of the results of temperature checks.
- B- Certification of conformance to national standards from the manufacture of the pyrometer.
- C- An increase in the use of the pyrometer by operators.
- D- Maintenance plan for the furnace.
- E- A procedure that provides instruction in taking billet temperature.
- F- Planning for monitoring and measuring the billet temperature.
- G- A quality objective to achieve lower recycle rates for billets.
- H- Annual review records for furnace operators.

Answer:

A, E, F

Explanation:

According to ISO 9001:2015, clause 9.1.1, the organization is required to determine what needs to be monitored and measured, the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results, and when the monitoring and measuring shall be performed. The organization is also required to retain appropriate documented information as evidence of the results.

Therefore, in the scenario given, the organization should have planned for monitoring and measuring the billet temperature, as it is a critical factor for the quality of the product and the process. The organization should also have established a procedure that provides instruction in taking billet temperature, using the pyrometer or other suitable methods, to ensure consistency and accuracy. The organization should also have performed periodic analysis of the results of temperature checks, to identify trends, problems, and opportunities for improvement.

Hence, the options that would provide evidence of conformance with clause 9.1.1 of ISO 9001 are

A, E, and F, as they are aligned with the requirements of the clause. The other options are either irrelevant or not directly related to clause 9.1.1, as they do not pertain to the monitoring and measurement of the billet temperature.

[ISO 9001:2015\(en\), Quality management systems --- Requirements, clause 9.1.1](#)

[ISO 19011:2018\(en\), Guidelines for auditing management systems, clause 6.4.4 and 6.7.2](#)

[ISO 9001 Lead Auditor Training Course | IRCA Certified | BSI, section "Learning objectives"](#)

[ISO 9001 Lead Auditor Course Material | 3FOLD Education Centre, module 5 and 6](#)

Question 6

Question Type: MultipleChoice

In the context of a third-party certification audit, it is very important to have effective communication. Which is not the responsibility of the audit team leader?

Options:

- A- If audit objectives are unattainable, reporting the reasons to the accreditation body.
- B- Planning formal communication arrangements, so an auditee can communicate with the auditor any time during the audit.
- C- Confirming formal communication channels between the audit team and the auditee during the opening meeting.
- D- Communicating the progress, any significant findings and any concerns to the auditee and audit client, as appropriate.

Answer:

A

Question 7

Question Type: MultipleChoice

Select six of the activities that are specifically required by ISO 17021-1 as part third-party (Certification Body) surveillance audit processes.

Options:

- A- Audit use of certification marks on marketing materials.
- B- Review changes to the QMS since last visit.
- C- Confirm effectiveness of internal audit and management review.
- D- Complete a full document review of the quality management system.
- E- Failing to meet financial responsibilities.
- F- Review the status of previously raised findings and audit effectiveness of any outstanding findings.
- G- Review the calibration status of the instrumentation.
- H- Verify legal compliance.
- I- Handling of customer complaints since last visit.
- J- Conduct a minimum number of annual surveillance audits during the certification period.

Answer:

A, B, C, F, H, I

Explanation:

The activities that are specifically required by ISO 17021-1 as part of third-party (Certification Body) surveillance audit processes are:

* Option A: Audit use of certification marks on marketing materials. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to audit the client's use of marks and/or any other reference to certification, as applicable, to ensure conformity with the certification requirements.

* Option B: Review changes to the QMS since last visit. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to review any changes affecting the client's quality management system and its ability to continue to fulfil the requirements of the standard used for certification.

* Option C: Confirm effectiveness of internal audit and management review. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to confirm the continuing effectiveness of the client's quality management system, including the effectiveness of the internal audit and management review processes.

* Option F: Review the status of previously raised findings and audit effectiveness of any outstanding findings. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to review the status of findings and any corrective actions taken by the client in response to previous audits, and to verify the effectiveness of the implemented corrective actions.

* Option H: Verify legal compliance. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to verify the client's compliance with applicable statutory

and regulatory requirements related to the scope of certification.

* Option I: Handling of customer complaints since last visit. This option is correct because ISO 17021-1:2015 clause 9.6.2.2 requires the certification body to review the client's handling of customer complaints related to the certified activities since the last audit.

The following options are not correct:

* Option D: Complete a full document review of the quality management system. This option is not correct because ISO 17021-1:2015 clause 9.6.2.2 does not require the certification body to complete a full document review of the quality management system during surveillance audits. A full document review is only required during the initial certification audit or when there are significant changes to the quality management system or the certification requirements.

* Option E: Failing to meet financial responsibilities. This option is not correct because ISO 17021-1:2015 clause 9.6.2.2 does not require the certification body to audit the client's financial responsibilities during surveillance audits. The certification body may have contractual arrangements with the client regarding the payment of fees, but this is not part of the surveillance audit process.

* Option G: Review the calibration status of the instrumentation. This option is not correct because ISO 17021-1:2015 clause 9.6.2.2 does not require the certification body to review the calibration status of the instrumentation during surveillance audits. The certification body may audit the client's monitoring and measuring resources as part of the quality management system requirements, but this is not a specific activity required by ISO 17021-1.

* Option J: Conduct a minimum number of annual surveillance audits during the certification period. This option is not correct because ISO 17021-1:2015 clause 9.6.2.2 does not require the certification body to conduct a minimum number of annual surveillance audits during the certification period. The certification body may determine the frequency and duration of surveillance audits based on the risk and performance of the client, but this is not a specific activity required by ISO 17021-1.

* ISO 17021-1:2015 Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements

* ISO 9001 Lead Auditor Course Material, Module 7: Audit Follow-up and Surveillance, Slide 8: Surveillance Audit

* ISO 9001 Lead Auditor Training Course - IRCA Certified, Section 7.2: Audit Follow-up and Surveillance

* Lead Auditor Exam Preparation Guide (EPG) Template - PECB, Section 3.2: Exam Content Outline, Subsection 3.2.1: Section 1 - Audit Fundamentals, Subsection 3.2.2: Section 2 - Audit Principles, Subsection 3.2.3: Section 3 - Audit Process, Subsection 3.2.4: Section 4 - Audit Competencies

Question 8

Question Type: MultipleChoice

Which two of the following statements related to Stage 1 of an initial certification audit against ISO 9001:2015 are true?

During the Stage 1 audit, the audit team:

Options:

- A- Reviews the processes with high level of risk
- B- Verifies the degrees of customer satisfaction
- C- Evaluates the conditions of all sites
- D- Evaluates the results of the last management review
- E- Reviews the client's management system documented information
- F- Verifies the compliance with legal requirements

Answer:

B, E

Explanation:

The Stage 1 audit is a readiness review that verifies the organization's ability to conduct the Stage 2 audit. It involves reviewing the documented information, evaluating the site-specific conditions, and having discussions with personnel. The auditor does not verify the degrees of customer satisfaction, the compliance with legal requirements, or the results of the last management review during the Stage 1 audit. These are done during the Stage 2 audit or later in the certification process. Reference:

[ISO 9001 Lead Auditor Reference Materials](#)

[ISO 9001 Lead Auditor Candidate Handbook](#)

[ISO 9001 Lead Auditor Course Material](#)

[ISO 9001 Lead Auditor Training Course IRCA Certified](#)

Question 9

Question Type: DragDrop

You are carrying out an audit at a single-site organisation seeking certification to ISO 9001 for the first time. The organisation offers warehousing and export services to customers. Customers are invoiced for the time stock items are stored in the warehouse. Transport to and from the warehouse is controlled by the organisation and approved subcontract transport services are used. The organization does not have its own transport vehicles. Stock items are not purchased by the organisation.

You have gathered audit evidence as outlined in the table. Match the ISO 9001 Clause 8 extract to the audit evidence.

Audit evidence	ISO 9001 Clause 8 extract
Four of the 10 pallets of stock sampled in the warehouse were not labelled.	<input type="text"/>
A damaged pallet of stock seen in the quarantine area was leaking liquid onto the floor.	<input type="text"/>
One of the fork-lift truck drivers had no fork-lift truck driving licence.	<input type="text"/>
There was no pest control provision in the warehouse.	<input type="text"/>
Two pallets of temperature-sensitive stock items were being stored at ambient as the chilled storage facility was full.	<input type="text"/>

To complete the table, click on the blank section you want to complete so it is highlighted in red and then click on the ISO 9001 Clause 8 extracts listed below. Alternatively, drag and drop each clause to the audit evidence that applies.

"8.5.2...shall use suitable means to identify outputs..."

"8.5.1 e ...shall include, as applicable...the appointment of competent persons..."

"8.1...shall plan, implement and control the processes..."

"8.7.1...shall ensure that outputs that do not conform to their requirements are identified and controlled..."

"8.5.4...shall preserve the outputs during production and service provision..."

Answer:

See the Answer in the Premium Version!

Question 10

Question Type: MultipleChoice

Which of the following three options could be considered potential threats to impartiality in an audit context?

Options:

- A- Competence
- B- Experience
- C- Familiarity
- D- Intimidation
- E- Self-audit



Answer:

C, D, E

Explanation:

Questions no: 1 Verified Answer: = C, D, E Comprehensive But Short = Potential threats



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