

## ISO 9001 Lead Auditor

### Sample Exam V042022

1. What is a Management System?
  - A. A set of internationally recognized standards that were created with the objective of helping companies to establish homogeneity levels in relation to management.
  - B. It is a fundamental segment that encompasses the background, theories and scientific methods to be used in conducting an investigation.
  - C. A set of mutually related or interacting activities that use inputs to provide an intended result.
  - D. A set of concepts, practices, and criteria for approaching a particular type of problem.
  
2. According to CertiProf's ISO 9001:2015 Lead Auditor certification program we can say that customer focus and improvement are:
  - A. Auditor's values.
  - B. Auditing Principles.
  - C. Principles of the management system.
  - D. Exclusive commitments of top management.
  
3. The PDCA cycle, also known as the Deming cycle, is a fundamental four-step continuous quality improvement strategy What is done in the planning stage?
  - A. Establish the objectives and processes necessary to achieve results in accordance with customer requirements and organizational policies.
  - B. Define deliverables, results and participants.
  - C. Establish and define schedules.
  - D. Create possible plans in financial terms.
  - E. All of the above.

4. What requirements does ISO 9001:2015 highlight that must be taken into account in organizations for products and services to be of quality?
  - A. Customers: Customer need or expectation.
  - B. Legal: Mandatory requirement specified by a legislative body.
  - C. Organizational: Requirement specific to the organization.
  - D. All of the above requirements.
  
5. What entries should Human Resources process have according to ISO 9001:2015?
  - A. Requests for personnel to be hired.
  - B. Requests for personnel training.
  - C. Personnel capacity.
  - D. A and B are inputs.
  - E. A and C are inputs.
  
6. What are the Balanced Scorecard perspectives?
  - A. The financial perspective.
  - B. The customer perspective.
  - C. The national government perspective.
  - D. A and B are correct.
  - E. A, B and C are correct.
  
7. What are the Balanced Scorecard perspectives?
  - A. The internal process perspective.
  - B. The customer perspective.
  - C. The learning perspective.
  - D. All of the above.
  
8. What is the purpose of the internal process perspective in the Balanced Scorecard (BSC)?
  - A. To focus on customer satisfaction and loyalty.
  - B. To focus on internal processes that are critical to meeting customer needs.
  - C. Find the objectives related to accounting and other economic data of the organization.
  - D. None of the above.

9. Some key potential benefits of the process approach to management are:
- A. Increased ability to focus efforts on key processes and improvement opportunities.
  - B. Consistent and predictable results through a system of aligned processes.
  - C. Optimized performance through effective process management, efficient use of resources, and reduction of cross-functional barriers.
  - D. All of the above.
10. What are the objectives of an ISO 9001:2015 audit?
- A. To establish the scope of the management system.
  - B. To assess risks and determine methods to address them.
  - C. Verify compliance with relevant system requirements of an interested parties, a regulatory body or derived from legal requirements or contractual commitments.
  - D. A and B are correct.
  - E. B and C are correct.
  - F. A, B and C are correct.
11. What is the objective of ISO 19011:2018?
- A. To determine the correct way to control management's commitment to the implementation of ISO 9001:2015 requirements.
  - B. To determine that audit processes are much more effective in detecting possible deviations or inefficiencies.
  - C. Establish good practices for implementing the requirements of the standard to be audited.
  - D. Provide control mechanisms for closing gaps identified in third party audits.
12. What does ISO 9001:2015 expect from top management?
- A. Top management commitment to ISO 9001:2015.
  - B. Hiring an external manager to implement ISO 9001:2015.
  - C. Always be part of the internal audit team.
  - D. Stay out of the implementation so as not to intervene with potential conflicts of interest.

13. Complete based on the types of audit.

When two or more management systems are audited together it is called an "audit \_\_\_\_\_".

When two or more auditing firms cooperate to audit a single auditee, it is called an "audit \_\_\_\_\_".

- A. Combined, Joint.
- B. Joint, Combined.
- C. Unique, Perfect.
- D. Crossed, Combined.

14. According to ISO 19011: How could the audit program be understood?

- A. A structured document where the audits that are going to be developed in the time for a certain unit or area of the company are programmed.
- B. A document where the questions to be asked in the audit are determined.
- C. The document that results at the end of the audit and determines the gap closure program.
- D. All of the above.

15. How is the audit team formed?

- A. The audit team should always consist of two people.
- B. The audit team can be formed by a number of people depending on the type and size of the company to be audited, frequently between 2 and 5 people, who, if necessary, will be supported by the necessary experts in each specific and concrete subject.
- C. The audit team must be made up of 3 people who are the lead auditor, the trainee auditor and the internal auditor.
- D. The audit team should never exceed 4 people because it lengthens the accreditation decision process. It can be conformed according to the need as long as the restriction of 4 people is followed.

16. Who is the technical expert in an audit?

- A. It is the person who offers all his knowledge or experience to the audit team.
- B. It is always the lead auditor.
- C. Technical expert is formally called the auditee.
- D. The person in charge of implementing the management system.

17. What are the audit criteria?

- A. Policies, standards, procedures or requirements used as a reference in the audit.
- B. Standards, specific organizational standards and legislative or regulatory requirements.
- C. Auditor's experience.
- D. Auditor's views on the implemented management system.

18. Audit techniques that an auditor should consider are:

- A. Observation.
- B. Conducting interviews.
- C. Analyzing documented information.
- D. All of the above.

19. The \_\_\_\_\_ establishes the point of the Quality Management System that extends within each of the operations of the organization, in addition it specifies any exclusion of the requirements of ISO 9001:2015 justifying them.

- A. Scope.
- B. Auditor.
- C. Management Representative.
- D. Implementer.

20. Which type of audit is defined as follows:

It is an external evaluation performed at the request of a client or regulatory body. It seeks to verify that the audited organization is doing what is expected, in accordance with a contracted contractual obligation.

- A. First part.
- B. Second part.
- C. Third part.
- D. There is no such audit.

21. According to what you learned in the CertiProf certification program, what types of questions might be asked in an audit?

- A. Internal and external.
- B. Open and closed.
- C. False and true (complies or does not comply).
- D. Direct and indirect.

22. According to what you learned in the CertiProf certification program, how is audit evidence obtained?

- A. Inspection.
- B. Observation.
- C. Interviews.
- D. All of the above.

23. Setting audit program objectives and establishing a plan are a part of:

- A. Audit program.
- B. Management system.
- C. Management system policy.
- D. Top management responsibilities.

24. What is a checklist in an audit? Choose the best answer.

- A. A chart containing the questions to be asked in the audit.
- B. They are documents that include key annotations for the execution of the audit activities.
- C. A checklist that includes all the requirements of the standard.
- D. Documents that assist in writing system nonconformities.

25. Based on the auditing principles learned in the certification program as a lead auditor to the standard: Which principle does the following definition refer to?

“Be sensitive to any influences that may bias your judgment during the conduct of an audit.”

- A. Impartial presentation.
- B. Integrity.
- C. Confidentiality.
- D. Independence.

26. Based on the auditing principles learned in the CertiProf 9001:2015 lead auditor certification program: Which principle does the following definition refer to?

“Perform your work ethically, honestly and responsibly.”

- A. Impartial presentation.
- B. Integrity.
- C. Confidentiality.
- D. Independence.

27. Sampling in auditing generally involves the following steps:

- Establishing the objectives of sampling;
- Selecting the extent and composition of the population to be sampled;
- Selecting the sampling method;
- Determine the sample size to be taken;
- Carry out the sampling activity;
- Compile, evaluate, report, and document the results.

What type of sampling does an auditor use? Select two:

- A. Random.
- B. Statistical.
- C. Customer-based.
- D. Based on judgment.

28. What does clause 8 of ISO 9001:2015 look for?
- A. To ensure that the operational side of the business is structured and deliver consistent products and services to the customer.
  - B. To ensure that the operational side is aware of the continual improvement requirements.
  - C. Ensure that the operational side succeeds in validating top management accountability.
  - D. Ensure that the operational side of the business will conduct system performance evaluation.
29. An auditor finds evidence of non-compliance with a legal requirement in the production of a product. However, that requirement is not from ISO 9001:2015. It could be determined that:
- A. There is evidence of a nonconformity related to the control of the production process.
  - B. A nonconformity is not evident since the requirement is not a duty of the standard.
  - C. It is an observation due to the auditor's experience that may only be a recommendation to the auditor.
  - D. An auditor has nothing to do validating legal requirements in a management system based on ISO 9001:2015.
30. By interpreting clause 9 of ISO 9001:2015, we can determine that the objective of the set of requirements is:
- A. Monitoring and measurement is required.
  - B. What will be the methods used for monitoring, measurement, analysis and evaluation of the management system.
  - C. Validate the scope of implementation of the system.
  - D. Clarify the product quality requirements.



31. What are the requirements of ISO 9001:2015 regarding personnel competence?

- A. 6.1
- B. 7.2
- C. 8.1
- D. 9.1

32. Clause 4 of ISO 9001:2015 on the analysis of the organization's context requires the organization to understand itself and its context. This implies that it is necessary to define all the influences generated by the different elements of the company and the way in which they affect the Quality Management System.

Based on the above and the requirement of ISO 9001:2015, an Auditor who requests a SWOT matrix and it is not delivered can determine:

- A. Nothing, since it is not necessary to have a SWOT.
- B. A non-conformity to the requirement.
- C. Lack of commitment from top management and must write a nonconformance.
- D. A finding.

33. Based on what you learned in the CertiProf certification program, The sub-clause in ISO 9001:2015 that explains how infrastructure is managed, which we must determine, provide and maintain is?

- A. 6.1.3
- B. 7.1.3
- C. 8.1.3
- D. There are no infrastructure requirements in ISO 9001:2015.

34. As an auditor and knowledgeable about ISO 9001:2015, you know that "The organization shall ensure that externally supplied processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers", during the execution of an audit you determine that such requirement is not met and you need to write the nonconformance: which sub-clause should you reference in the format?
- A. 8.4 Control of externally supplied processes, products and services.
  - B. 8.4.2 Type and extent of control.
  - C. 5.2.1 Development of quality policy.
  - D. 9.1 Monitoring, measurement, analysis and evaluation.
35. You have just gone through training in CertiProf's ISO 9001:2015 LA program. Now as a trained and knowledgeable ISO 9001:2015 auditor, you know that "release of products and services does not occur until all provisions have been completed." During the execution of an audit you determine that such a requirement is not met and you need to write the nonconformance: which sub-clause should you reference in the format?
- A. 8.4 Controlling externally provided processes, products and services.
  - B. 8.6 Release of products and services.
  - C. 5.2.1 Development of quality policy.
  - D. 9.1 Monitoring, measurement, analysis and evaluation.
36. You are preparing for a third-party audit. A requirement you learned in CertiProf's ISO 9001:2015 LA program is related to customer satisfaction, the customer's perception of your product or service and its measurement. You want to validate the requirement by carrying it on one of your checklists. Which clause of ISO 9001:2015 standard would you be working on? (Please select the best option)
- A. 8.4 Controlling externally provided processes, products and services.
  - B. 8.6 Release of products and services.
  - C. 9.1 Monitoring, measurement, analysis and evaluation.
  - D. 9.1.2 Customer satisfaction.

37. Now that you are going to be certified as ISO 9001:2015 Lead Auditor, you are very clear that a management system based on ISO 9001:2015 must have top management commitment and you also know that "Management has to review the company's Quality Management System at planned intervals, as continuous suitability, adequacy, efficiency and alignment with the company's strategic direction has to be ensured".

If top management does not review the quality management system on a planned basis, it would potentially be in non-compliance with which clause of the standard? (Select the best answer)

- A. 5.1. Leadership and commitment.
- B. 5.2.1 Quality policy.
- C. 9.3 Management review.
- D. 5.3 Roles, responsibility and authority.

38. What things should not be part of the wording of a nonconformance?

- A. Personal opinion of the auditor.
- B. The ISO 9001:2015 clause.
- C. The law that is within the scope of the system.
- D. The objective evidence.

39. How to handle ISO 9001:2015 nonconformities?

- A. Take action.
- B. Evaluate the nonconformity.
- C. Implement corrective actions.
- D. All of the above.

40. A key part of an audit is the conclusion of the audit.

Based on ISO 19011:2018, select the ones that apply about what is expected to be done at the audit team pre-meeting prior to executing the audit closing meeting

- A. Review of the audit findings and any other appropriate information collected during the audit against the audit objectives.
- B. Agreeing with the audit findings, taking into account the uncertainty inherent in the audit process.
- C. Prepare recommendations, if specified by the audit plan.
- D. Discuss audit follow-up.

## ANSWERS

1. C
2. C
3. E
4. D
5. D
6. D
7. D
8. B
9. D
10. E
11. B
12. A
13. A
14. A
15. B
16. A
17. A y B
18. D
19. A
20. B
21. B
22. D
23. A
24. B
25. B
26. B
27. B y D
28. A
29. A
30. A y B
31. B
32. A
33. B
34. B
35. B
36. D
37. C
38. A
39. D
40. A, B, C y D