

Authentic ISO-9001-Lead-Auditor Exam Questions - ISO-9001-Lead-Auditor Testdump

ISO 9001 Lead Auditor Sample Exam Questions and Answers:

There are 4 sections in the ISO 9001 QMS Lead Auditor examination as illustrated in table 1 below. In this ISO 9001 lead auditor sample exam questions and answer article, we will examine one question per section and provide their answers.

In table 1 you can find the question break-ups and the passing scores.

Table 1: ISO 9001 Exam Section and Question break-up

Section	No of Questions	Minimum Pass Mark	Maximum Pass Mark
1	5	4.5	10
2	4	9.5	20
3	3	14.5	30
4	3	14.5	30
Total	15	62.5	90

Table 1 shows us the total available and minimum marks to pass each section. It is mandatory to pass each section. For example: if you have scored 6 marks on section 1, 18 marks on section 2, 10 marks on section 3 & 30 marks on section 4, your subtotal would be 64 marks. Though you have scored a total of 64 marks, since you haven't scored the minimum passing marks on section 3, it will still be considered a failure.

Now let's look at a few sample exam questions in each section.

Section 1:

This section has 5 questions and each carries 2 marks,

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PECB ISO-9001-Lead-Auditor Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> Conducting an ISO 9001 audit: It evaluates your skills to conduct a QMS audit.
Topic 2	<ul style="list-style-type: none"> Fundamental audit concepts and principles: Questions about interpreting and applying the main concepts and principles related to a QMS audit appear in this topic.
Topic 3	<ul style="list-style-type: none"> Managing an ISO 9001 audit program: This topic evaluates your abilities to establish and managing a QMS audit program.

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PECB QMS ISO 9001:2015 Lead Auditor Exam Sample Questions (Q152-Q157):

NEW QUESTION # 152

Which of the following subjects should an auditor discuss when communicating with the auditee's top management?

- A. Both A and B
- B. Internal audit
- C. The quality policy

Answer: A

Explanation:

Comprehensive and Detailed In-Depth Explanation:

During communication with top management, the auditor should discuss:

- * The quality policy (ISO 9001:2015, Clause 5.2.1), ensuring that it is established, communicated, and understood.
- * Internal audits (ISO 9001:2015, Clause 9.2), verifying that they are planned and effectively implemented.

These discussions help assess leadership commitment and the effectiveness of the QMS.

Reference:

ISO 9001:2015, Clause 5.2.1 (Establishing the Quality Policy)

ISO 9001:2015, Clause 9.2 (Internal Audit)

NEW QUESTION # 153

Scenario 5: Mechanical-Electro (ME) Audit Stages

Mechanical-Electro, better known as ME, is an American company that provides mechanical and electrical services in China. Their services range from air-conditioning systems, ventilation systems, plumbing, to installation of electrical equipment in automobile plants, electronic manufacturing facilities, and food processing plants.

Due to the fierce competition from local Chinese companies and failing to meet customer requirements, ME's revenue dropped significantly. In addition, customers' trust and confidence in the company decreased, and the reputation of the company was damaged.

In light of these developments, the top management of ME decided to implement a quality management system (QMS) based on ISO 9001. After having an effective QMS in place for over a year, they applied for a certification audit.

A team of four auditors was appointed for the audit, including Li Na as the audit team leader. Initially, the audit team conducted a general review of ME's documents, including the quality policy, operational procedures, inventory lists, QMS scope, process documentation, training records, and previous audit reports.

Li Na stated that this would allow the team to maintain a systematic and structured approach to gathering documents for all audit stages. While reviewing the documented information, the team observed some minor issues but did not identify any major nonconformities. Therefore, Li Na claimed that it was not necessary to prepare a report or conduct a meeting with ME's representatives at that stage of the audit. She stated that all areas of concern would be discussed in the next phase of the audit. Following the on-site activities and the opening meeting with ME's top management, the audit team structured an audit test plan to verify whether ME's QMS conformed to Clause 8.2.1 (Customer Communication) of ISO 9001.

To do so, they gathered information through group interviews and sampling. Li Na conducted interviews with departmental managers in the first group and then with top management. In addition, she chose a sampling method that sufficiently represented customer complaints from both areas of ME's operations.

The team members were responsible for the sampling procedure. They selected a sample size of 4 out of 45 customer complaints received weekly for electrical services and 2 out of 10 complaints for mechanical services.

Afterward, the audit team evaluated the evidence against the audit criteria and generated the audit findings.

Which stages of the audit were performed?

- A. Stage 1 and stage 2 audit.
- B. Stage 2 audit and surveillance audit.
- C. Audit follow-up and stage 1 audit.

Answer: A

Explanation:

Comprehensive and Detailed In-Depth Explanation:

Understanding Audit Stages Based on ISO/IEC 17021-1:2015

ISO certification audits consist of two main stages:

* Stage 1 Audit (Readiness Review)

* The organization's documented information is reviewed to assess readiness for Stage 2.

* This ensures that the QMS is developed, implemented, and prepared for full assessment.

* Stage 2 Audit (On-Site Evaluation)

* Auditors assess process implementation and effectiveness through interviews, observations, and evidence collection.

* The audit team verifies if the organization meets ISO 9001 requirements in practice.

Why is the Correct Answer B?

* The audit team reviewed ME's documents, which is a Stage 1 activity.

* The audit team performed interviews, sampling, and on-site verification, which is a Stage 2 activity.

* There was no mention of an audit follow-up or a surveillance audit, which occur post-certification.

Why are the Other Options Incorrect?

* A (Audit follow-up and Stage 1 Audit) # Follow-up audits occur after certification, which was not the case here.

* C (Stage 2 Audit and Surveillance Audit) # Surveillance audits are post-certification audits and were not conducted yet.

NEW QUESTION # 154

Scenario 7: POLKA is a car manufacturing company based in Stockholm, Sweden. The company has around 14,000 employees working in different sectors which help with the design, painting, assembling, and test drives of the final product. The company is widely known for its qualitative products and affordable prices. In order to retain their reputation, POLKA implemented a quality management system (QMS) based on ISO 9001.

Before applying for certification, the company decided to conduct an internal audit to check whether there are any nonconformities in their QMS and if the requirements of ISO 9001 are being fulfilled.

The top management appointed Sean, the internal auditor, as the team leader of the internal audit team. Sean required from the top management to have unrestricted access to the employees and executives of POLKA and to the documented information.

Furthermore, Sean required to establish a team with a large number of auditors, considering the size and the complexity of the organization. The top management of POLKA agreed with Sean's requirements.

The top management, in cooperation with Sean, assigned 10 more employees to the audit team.

Following that, Sean planned the audit activities and assigned the roles and responsibilities to each auditor. They began by interviewing employees of different manufacturing departments to check whether they are aware of the process of the QMS implementation. While conducting these activities, one of the auditors asked Sean for permission to audit the department in which he worked on a daily basis, as he was very familiar with the processes of the department.

Along the way, the team's findings showed that the staff were trained, documented information was updated, and the QMS fulfilled the requirements of ISO 9001. The internal audit took three weeks to complete, and on the last week the audit team held a final meeting. The team shared their results and together drafted the audit report. This report was submitted to the top management of the company. The report was maintained as documented information, and was available to the relevant interested parties.

Based on the scenario above, answer the following question:

According to Scenario 7, one of the auditors requested permission from Sean to audit the department in which he worked on a daily basis. Should Sean grant the auditor permission?

- A. Yes, but Sean himself must be present in every audit activity
- B. Yes, Sean should grant the auditor permission
- C. No, internal auditors should be independent of the processes being audited

Answer: C

Explanation:

Comprehensive and Detailed In-Depth Explanation: ISO 19011:2018, Clause 5.1 (Impartiality) states that:

* Internal auditors must be independent of the processes they audit to ensure objectivity.

* Auditing one's own department introduces bias and is not permitted.

Thus, Sean must not allow the auditor to audit their own department.

NEW QUESTION # 155

You are preparing for interviews with two members of top management. Based on the information that you gathered about the organization, you conclude that it is the top management who takes all the important decisions and closely supervises and controls employees. Based on this, which management style is practiced in the organization?

- A. Laissez-faire
- B. Centralized
- C. Autocratic

Answer: C

Explanation:

Comprehensive and Detailed In-Depth Explanation: An autocratic management style is characterized by:

- * Top management making all decisions without delegation.
- * Strict control over employees.
- * A lack of employee input in decision-making.

Centralized management (Answer C) refers to decision-making being concentrated at the top, but it does not necessarily imply strict control. Laissez-faire management (Answer B) allows employees high independence, which contradicts the scenario.

NEW QUESTION # 156

Select the words that best complete the sentence:

Select the words that best complete the sentence:

In the context of a third-party audit, the amount of detail provided in the audit plan should reflect the _____ and complexity of the audit, as well as the risk of not achieving the audit objectives.

To complete the sentence with the best word(s), click on the blank section you want to complete so it is highlighted in red and then click on the applicable text from the option(s) below. Alternatively, drag and drop the option(s) to the appropriate blank section.

time scope management's expectation requirements

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Answer:

Explanation:

Select the words that best complete the sentence:

In the context of a third-party audit, the amount of detail provided in the audit plan should reflect the scope and complexity of the audit, as well as the risk of not achieving the audit objectives.

To complete the sentence with the best word(s), click on the blank section you want to complete so it is highlighted in red and then click on the applicable text from the option(s) below. Alternatively, drag and drop the option(s) to the appropriate blank section.

time scope management's expectation requirements

Explanation:

According to the ISO 19011:2018 document, the audit plan should provide the basis for agreement regarding the conduct and scheduling of the audit activities. The amount of detail provided in the audit plan should reflect the scope and complexity of the audit, as well as the risk of not achieving the audit objectives¹. The scope of the audit refers to the extent and boundaries of the audit, such as the audit criteria, the audit objectives, the organizational and functional units, and the processes to be audited¹. The complexity of the audit refers to the degree of difficulty or intricacy of the audit, such as the number and diversity of the auditees, the audit criteria, the audit methods, and the audit team composition². The risk of not achieving the audit objectives refers to the possibility that the audit may fail to provide reliable and sufficient audit evidence to support the audit conclusions and report¹.

Therefore, the complete sentence is:

In the context of a third-party audit, the amount of detail provided in the audit plan should reflect the scope and complexity of the audit, as well as the risk of not achieving the audit objectives.

References: 1: ISO 19011:2018 - Guidelines for auditing management systems 2: Audit Complexity - an overview | ScienceDirect Topics

NEW QUESTION # 157

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The great advantage of our ISO-9001-Lead-Auditor study prep is that we offer free updates for one year long. On one hand, these

