

# ISO-9001-Lead-Auditor Test Registration - ISO-9001-Lead-Auditor Verified Answers

## ISO 9001 Lead Auditor Sample Exam Questions and Answers

May 22, 2021 - Posted by Saranya Vinayak - Exam ISO 9001:2015

### CQI IRCA Certified ISO 9001 Lead Auditor Sample Exam Questions and Answers

To successfully complete [CQI IRCA Certified ISO 9001 QMS Lead Auditor course](#), learners must pass both the continuous evaluation and the final examination.

#### 1. Continuous Evaluation

It is a formative assessment that will be held throughout the 5 days course. You will undergo audit activities, and be provided daily feedback on your progress which will help you increase your knowledge in performing audits. The activities of each delegate are graded by the tutor. You need to successfully complete all the activities and score a minimum passing grade in the [continuous evaluation](#).

#### 2. Final Examination

Here are some of the key details you need to know before appearing for the final examination.

1. The duration of the exam is 120 Minutes, however, if you are a non-native speaker you will be given an extra 24 Minutes in addition to the 120 Minutes.
2. The exam is conducted both in class or online depending on the mode of your training. (3FOLD Education Centre conducts the [entire training](#) and the [final exam online](#))
3. The only resource that you can use during the exam is the relevant ISO Scheme standard ISO 9001:2015. It is not permissible to use ISO 19011 standard.
4. English dictionary is allowed, however, it is not found useful by many of the participants.

## 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	Maxim
1	5	4.5	
2	4	9.5	

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With our motto "Sincerity and Quality", we will try our best to provide the big-league ISO-9001-Lead-Auditor exam questions for our valued customers like you. Our company emphasizes the interaction with customers on our ISO-9001-Lead-Auditor Study Guide. We not only attach great importance to the quality of QMS ISO 9001:2015 Lead Auditor Exam exam, but also take the construction of a better after-sale service on our ISO-9001-Lead-Auditor learning materials into account.

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

Topic	Details
Topic 1	<ul style="list-style-type: none"><li>• Managing an ISO 9001 audit program: This topic evaluates your abilities to establish and managing a QMS audit program.</li></ul>
Topic 2	<ul style="list-style-type: none"><li>• Fundamental principles and concepts of a quality management system: The main objective of this domain is to evaluate your skills of explaining and applying ISO 9001 principles and concepts.</li></ul>
Topic 3	<ul style="list-style-type: none"><li>• Closing an ISO 9001 audit: The topic focuses on concluding a QMS audit and conducting audit follow-up activities.</li></ul>

Topic 4	<ul style="list-style-type: none"> <li>• Fundamental audit concepts and principles: Questions about interpreting and applying the main concepts and principles related to a QMS audit appear in this topic.</li> </ul>
Topic 5	<ul style="list-style-type: none"> <li>• Quality management system (QMS) requirements: It assesses your abilities to point out and explain different requirements for a quality management system based on ISO 9001.</li> </ul>

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our experts have rewritten the textbooks according to the exam outline of ISO-9001-Lead-Auditor, and have gathered all the key difficulties and made key notes, so that you can review them in a centralized manner. Experts also conducted authoritative interpretations of all incomprehensible knowledge points through examples and other methods. The expressions used in ISO-9001-Lead-Auditor Learning Materials are very easy to understand. Even if you are an industry rookie, you can understand professional knowledge very easily. The ISO-9001-Lead-Auditor training torrent will be the best study guide for you to obtain your certification.

### **PECB QMS ISO 9001:2015 Lead Auditor Exam Sample Questions (Q132-Q137):**

#### **NEW QUESTION # 132**

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.

You are interviewing the Quality Systems Manager (QSM).

You: "What risks and opportunities have the business identified?"

QSM: "I'll show you. This was discussed with the Managing Director at the latest management review." Narrative: The QSM shows you the latest management review record and points to the following table:

□ You: "How is the business planning to address these risks and opportunities?" QSM: "The MD said that they already knew about them so it was not necessary."

□

#### **Answer:**

Explanation:

□ Explanation:

Non-Conformity Report:

ISO 9001 Clause Number

Nature of Problem

ISO 9001 Requirement That Has Not Been Fulfilled

6.1.1

Several risks and opportunities have not been determined.

"The organization shall consider the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed."

6.1.2 (a)

Actions to address risks and opportunities not planned.

"The organization shall plan actions to address risks and opportunities." Step-by-Step Reasoning:

\* Clause 6.1.1 - Determining Risks and Opportunities:

\* Requirement: The organization must determine risks and opportunities that are relevant to its Quality Management System (QMS). This ensures that the QMS achieves intended results and prevents undesired effects.

\* Problem Identified: While some risks and opportunities were discussed, the organization did not perform a systematic evaluation of all risks (e.g., health and safety legislation changes, retiring trainers).

\* Clause 6.1.2 (a) - Planning Actions for Risks and Opportunities:

\* Requirement: The organization must plan actions to address identified risks and opportunities.

These actions should be integrated into the QMS processes to ensure continuous improvement.

\* Problem Identified: The Quality Systems Manager confirmed that no plans were made to address the risks and opportunities because the Managing Director deemed it unnecessary. This violates the requirement to plan actions.

\* Correct Options Selected:

- \* Clause 6.1.1 with the nature of the problem as: "Several risks and opportunities have not been determined."
- \* Clause 6.1.2 (a) with the nature of the problem as: "Actions to address risks and opportunities not planned."
- \* ISO 9001 Requirements Not Fulfilled:
- \* For 6.1.1."The organization shall consider the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed."
- \* For 6.1.2 (a)."The organization shall plan actions to address risks and opportunities."

### NEW QUESTION # 133

A person who provides specific knowledge or expertise to the audit team during the audit is known as a /an:

- A. Technical expert.
- B. Observer.
- C. Guide.

#### Answer: A

Explanation:

Comprehensive and Detailed In-Depth Explanation:

A technical expert is someone with specialized knowledge that helps the audit team understand specific technical aspects of the auditee's processes.

Clause References:

\* ISO 19011:2018, Clause 7.3.4 - Use of Technical Experts:

\* Technical experts support the audit team with specialized knowledge but do not perform the audit themselves.

Why is the Correct Answer B?

\* A technical expert is needed when auditors lack deep expertise in specific areas, such as engineering, software, or medical devices.

\* They assist in interpreting complex technical requirements but do not act as auditors.

Why are the Other Options Incorrect?

\* A (Observer) # Observers do not contribute expertise; they only watch the audit (e.g., trainees).

\* C (Guide) # Guides help with logistics but do not provide technical expertise.

Reference:

ISO 19011:2018, Clause 7.3.4 - Use of Technical Experts

### NEW QUESTION # 134

Scenario 6: Davis Clinic (DC) is an American medical center focused on integrated health care. Since its establishment DC was committed to providing qualitative services for its clients, which is the reason why the company decided to implement a quality management system (QMS) based on ISO 9001. After a year of having an active QMS in place, DC applied for a certification audit.

A team of five auditors, from a well-known certification body, was selected to conduct the audit. Eva was appointed as the audit team leader. After three days of auditing, the team gathered to review and examine their findings. They also discussed the audit findings with DC's top management and then drafted the audit conclusions.

In the closing meeting, which was held between the audit team and the top management of DC. Eva presented two nonconformities that were detected during the audit. Eva stated that the company did not retain documented information regarding its outsourced services for an analysis laboratory and regarding the conducted management reviews. During the closing meeting, the audit team required from DC's top management to come up with corrective action plans within two weeks. Although the top management did not agree with the audit findings, the audit team insisted that the auditee must submit corrective actions within the given time frame in order for the audit activities to continue.

Once the action plans were evaluated, the audit team began preparing the audit report. Eva required from the team to provide accurate descriptions of the audit findings and the audit conclusions. The report was then distributed to all the interested parties involved in the audit, including the certification body. Based on the report, the certification body together with Eva, as the audit team leader, made the certification decision.

Based on the scenario above, answer the following question:

Is it acceptable for the certification body and Eva to make the certification decision together?

- A. No, auditors that take part in the audit should never take part in the certification decision
- B. No, only the audit team leader must make the certification decision
- C. Yes, because the audit team leader must be involved in the certification decision

**Answer: A**

Explanation:

Comprehensive and Detailed In-Depth Explanation:

According to ISO 17021-1:2015, Clause 9.5.1 (Certification Decision):

- \* Auditors who conduct the audit cannot be involved in the certification decision to ensure impartiality.
- \* The certification body alone is responsible for making the certification decision based on the audit report and findings.
- \* The audit team leader (Eva) must not take part in the certification decision.

Thus, C is the correct answer.

Reference:

ISO 17021-1:2015, Clause 9.5.1 (Certification Decision)

**NEW QUESTION # 135**

Select the term that best describes the purpose of retaining documented information in a quality management system to ISO 9001.

- A. To facilitate auditing for proof of conformity to the standard.
- B. To provide confidence in the effectiveness of the quality management system
- **C. To support the operation of the processes of the quality management system**
- D. To safeguard the integrity of the quality management system

**Answer: C**

Explanation:

Documented information is a means by which an organization demonstrates compliance. It communicates what we do and how we do things, it communicates what happened and what results were achieved. It is, essentially, a tool for communication. ISO 9001:2015 allows an organization flexibility in the way it chooses to document its quality management system (QMS). This enables each individual organization to determine the correct amount of documented information needed in order to demonstrate the effective planning, operation and control of its processes and the implementation and continual improvement of the effectiveness of its QMS. The standard states that the organization shall maintain documented information to the extent necessary to support the operation of processes and retain documented information to the extent necessary to have confidence that the processes are being carried out as planned. Therefore, the purpose of retaining documented information is to support the operation of the processes of the QMS, not to facilitate auditing, provide confidence or safeguard integrity, which are secondary benefits of documented information.

References: Guidance on the requirements for Documented Information of ISO 9001:2015, ISO 9001:2015 documented information | CQI | IRCA, Documented Information Required by ISO 9001:2015 - 9000 Store

**NEW QUESTION # 136**

What is a list of actions that should be performed during the audit with their respective timeline?

- A. The audit offer.
- B. The audit objectives.
- C. The audit criteria.
- **D. The audit schedule.**

**Answer: D**

Explanation:

Comprehensive and Detailed In-Depth Explanation:

The audit schedule provides a structured timeline of activities to be conducted during the audit.

Clause References:

\* ISO 19011:2018, Clause 6.4.2 - Preparing the Audit Plan:

\* Requires the development of an audit schedule, including the sequence and timing of activities

\* ISO/IEC 17021-1:2015, Clause 9.1.3 - Audit Program:

\* Certification bodies must establish a schedule for conducting audits.

Why is the Correct Answer C?

\* The audit schedule ensures systematic execution of the audit by defining activities, responsible auditors, and timeframes.

\* A well-planned schedule improves efficiency and helps auditors cover all necessary areas within the given time.

Why are the Other Options Incorrect?

\* A (Audit objectives) # Define why the audit is conducted, not the schedule.

\* B (Audit criteria) # Define the standards and requirements to be evaluated, not the timeline.

\* D (Audit offer) # Refers to the initial proposal sent to the auditee, not the activity timeline.

## NEW QUESTION # 137

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