



LEAD AUDITOR EXAMINATION THEORY QUESTION PAPER

BMQR - PCD/LA/14001/EQP 01 – T

REV: 01





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NAME OF THE DELEGATE	
CERTIFICATION ID	
CERTIFICATION NAME	
DATE OF EXAMINATION	
SIGNATURE OF THE DELEGATE	
SIGNATURE OF THE INVIGILATOR.	

Note: THE NAME GIVEN HERE WILL APPEAR IN THE CERTIFICATE.



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INSTRUCTIONS

1. The examination paper is in five parts. Attempt all parts and all questions.
2. The time allowed is three hours. There is no additional time allowed for reading the questions paper.
3. Laptop and Mobile Phones are not allowed inside the Exam hall.
4. ISO 14001:2015, ISO 19011:2018 standard and dictionary (Hard Copy) are allowed to use during the exam. But course materials and training notes are not allowed inside the exam hall.
5. Try to write with your own wordings.
6. All the answers shall be within this question papers only. No extra paper will be allowed.



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PART A

TOTAL MARKS: 100
MARKS: 20x1=20
EACH 1 MARK

CHOOSE THE CORRECT ANSWER. ANSWER ALL THE QUESTIONS.

- 1) What is the primary purpose of ISO 14004?
 - A) To establish legal requirements for environmental management
 - B) To provide guidelines for auditing EMS systems
 - C) To provide general guidance on the implementation, maintenance, and improvement of an Environmental Management System (EMS)
 - D) To define mandatory EMS certification procedures

- 2) The greenhouse effect is primarily caused by the accumulation of which gas?
 - A) Nitrogen
 - B) Carbon dioxide
 - C) Oxygen
 - D) Hydrogen

- 3) What is an example of a Scope 1 emission?
 - A) Purchased electricity
 - B) Company-owned vehicle emissions
 - C) Employee commuting
 - D) Supplier emissions

- 4) What is the function of an electrostatic precipitator in pollution control?
 - A) Neutralizes acidic gases
 - B) Absorbs carbon dioxide
 - C) Removes particulate matter from exhaust gases
 - D) Filters drinking water

- 5) Which of the following is considered a renewable energy source?
 - A) Coal
 - B) Uranium
 - C) Tidal energy
 - D) Diesel

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- 6) Which of the following is the best example of a biodegradable pollutant?
- A) Plastics
 - B) Glass
 - C) Sewage
 - D) Aluminum cans
- 7) Environmental aspect is defined as:
- A) An outcome of an EMS review
 - B) Element of an organization's activities that can interact with the environment
 - C) A safety management issue
 - D) Corporate branding tool
- 8) Which of the following is considered a preventive environmental control technique?
- A) Spill containment
 - B) Emission reporting
 - C) Root cause analysis
 - D) Substitution of hazardous materials
- 9) ISO/IEC 17021-2 specifically applies to which type of auditing?
- A) Environmental testing audits
 - B) Certification of environmental management systems
 - C) Certification of environmental management systems
 - D) Product audits
- 10) Which of the following is the primary purpose of the Environment (Protection) Act, 1986 in India?
- A) To regulate trade in hazardous substances
 - B) To protect the rights of indigenous people
 - C) To provide a framework for the protection and improvement of the environment
 - D) To govern water pollution only

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- 11) Which is not a common air pollution control technique?
 - A) Bag filters
 - B) Electrostatic precipitators
 - C) Sedimentation tanks
 - D) Scrubbers

- 12) What is the effect of thermal pollution?
 - A) Causes genetic mutation
 - B) Reduces dissolved oxygen in water bodies
 - C) Produces smog
 - D) Causes oil spillage

- 13) What is "Consent to Operate" (CTO) in pollution control regulation?
 - A) Tax document to operate
 - B) Legal permit to operate an industrial unit with emission limits and conditions
 - C) Building permit
 - D) Quantity certificate

- 14) Which tool is used to measure ambient noise levels?
 - A) Sound level meter
 - B) pH meter
 - C) Turbidity meter
 - D) Hygrometer

- 15) Which license is required before setting up any industrial plant in India?
 - A) Trade license
 - B) Import license
 - C) Consent to Establish (CTE)
 - D) Pollution Control Certificate

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16) What is the difference between "Consent to establish" and "Consent to operate"?

- A) CTE is post-operation, CTO is pre-setup
- B) CTE is a trade license; CTO is a fire license
- C) CTE is prior to construction; CTO is for running the unit
- D) They are both issued after closure

17) Energy consumption from air-conditioning systems is generally categorized under:

- A) Scope 1
- B) Scope 2
- C) Scope 3
- D) Scope 4

18) Which of the following is NOT considered a greenhouse gas under the Kyoto Protocol?

- A) Carbon dioxide (CO_2)
- B) Methane (CH_4)
- C) Nitrogen (N_2)
- D) Nitrous oxide (N_2O)

19) What does (CO_2e) stand for in GHG accounting

- A) Carbon dioxide emissions
- B) Equivalent carbon dioxide
- C) Certified oxygen equivalent
- D) Controlled output emissions

20) What is "carbon neutrality"?

- A) Having zero emissions
- B) Balancing emissions with carbon offsets
- C) Not reporting emissions
- D) Planting trees only



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PART B

**MARKS: 5x2= 10
EACH 2 MARKS**

**SHORT ANSWER. ANSWER IN TWO LINES. ANSWER ONLY 5 QUESTIONS
OUT OF 7 QUESTIONS.**

1) As a lead auditor, how would you verify that an organization has evaluated compliance with environmental legal requirements as per ISO 14001:2015 Clause 9.1.2?

2) You are planning an audit of a logistics company. What key environmental aspects would you expect to evaluate, and why is their inclusion important in audit planning?



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3) During audit opening meeting, what two key points must the lead auditor clarify with the auditee's top management regarding audit conduct?

4) You observed a recurring spill of lubricants in the maintenance area. What immediate action would you take as an auditor and why?

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5) As a lead auditor preparing to conduct a certification audit for an organization's Environmental Management System (EMS), you developed and agreed upon an audit plan in advance. One day before the scheduled audit, the organization informs you that top management will not be available for the audit. Based on ISO 19011 and ISO/IEC 17021-2 guidelines, how would you handle this situation and why?

6) What are two critical records you would request to verify the effectiveness of emergency preparedness and response procedures?



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7) An auditor is assigned to audit a chemical manufacturing company under ISO 14001. What is meant by 'discipline and sector specific competence of the auditor' in this context?



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PART C

MARKS: 5x3= 15
EACH 5 MARKS

LONG ANSWER. ANSWER ALL THE QUESTIONS.

1) During an onsite audit of a metal finishing facility, you observe that wastewater from the plating process is being stored temporarily before treatment. Explain how you, as a lead auditor, would assess the risk of this activity and determine whether it has been adequately addressed in the organization's Environmental Management System (EMS).



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2) You are conducting an audit follow-up for a previously raised nonconformity related to training on chemical handling. Explain how you will verify the effectiveness of corrective actions and closure.



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3) During an audit of a wastewater treatment facility, you observe a discharge outlet without a flow meter. Explain how you will assess the impact on compliance and EMS performance, and what audit steps you would follow.



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PART D

MARKS: 3x5= 15
EACH 5 MARKS

SITUATIONAL JUDGMENT TEST. ANSWER ALL THE QUESTIONS

1) You are conducting a certification audit of RVS Paper Mills in India, employing 150 people across production, quality control, legal, and maintenance departments. During the audit, you observe high levels of paper dust in the production area and lack of documented controls. Prepare an audit report highlighting the nonconformities, risks, and recommended corrective actions.



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2) As the audit programme manager for Falcon Coatings, paint and coating manufacturer, how would you ensure auditor competence and appropriate allocation of audit time based on ISO 19011 and ISO/IEC 17021-2 for auditing high VOC-emitting processes?

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3) You are the audit programme manager responsible for the ISO 14001:2015 certification audit of PHL Limited, a Canadian manufacturer of SG iron and CI castings. The company employs 125 people across various departments. After the last surveillance audit, several minor nonconformities were found, and feedback was received indicating that the audit team lacked specific technical knowledge of environmental aspects related to foundry operations.

Based on your understanding **of ISO 19011 and ISO/IEC 17021-2 competence requirements**, explain how you will **review and improve the audit programme** to ensure better performance in the next audit cycle.



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PART E

**MARKS: 10x2=20
EACH 10 MARKS**

AUDIT TEST ANALYSIS. ANSWER ALL THE QUESTIONS.

- 1) During an audit at ZMR Engineering, you find open chemical containers stored directly under a leaking roof. The site engineer mentions they have requested roof repair.

Question:

- a) Is there any non-conformity? If YES, write nonconformance report.
- b) If there is no non-conformity, please specify reason for the same.



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NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 14001:2015		
AREA			
<input type="checkbox"/> MAJOR	<input type="checkbox"/> MINOR	Details of non-conformance	
AUDITOR RAISING THE NCR			
(Sign)			
ORGANIZATION'S REP			
(SIGNATURE)			
AUDITEE PROPOSED CORRECTIVE ACTION PLAN * (ATTACH SEPARATE SHEET, IF REQUIRED)			
PROPOSED COMPLETION (Date)		Correction(s)	
RESPONSIBLE PERSON (S)			
ORGANIZATION'S REP		Root cause(s)	
(SIGNATURE)			
COMPLETION DATE		Corrective action(s)	
FOLLOW UP REQUIREMENT			
<input type="checkbox"/> Document Proof			
<input type="checkbox"/> Follow up visit			
<input type="checkbox"/> During subsequent surveillance audits		Auditor Acceptance of Corrective Action Plan:	
		Signature: _____	
		Auditor	
CONCLUSION			
<input type="checkbox"/> Closed		<input type="checkbox"/> Not Closed	<input type="checkbox"/> Further NCR to be issued NCR No.....
ASSESSOR (SIGNATURE)		Date	

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2) While auditing the Production department at Agritech Ltd., you find they have modified machinery that now discharges wastewater, but the environmental aspect register has not been updated.

Question:

- a) Is there any non-conformity? If YES, write nonconformance report.
- b) If there is no non-conformity, please specify reason for the same.



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NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 14001:2015		
AREA			
<input type="checkbox"/> MAJOR	<input type="checkbox"/> MINOR	Details of non-conformance	
AUDITOR RAISING THE NCR			
(Sign)			
ORGANIZATION'S REP (SIGNATURE)			
AUDITEE PROPOSED CORRECTIVE ACTION PLAN * (ATTACH SEPARATE SHEET, IF REQUIRED)			
PROPOSED COMPLETION (Date)		Correction(s)	
RESPONSIBLE PERSON (S)			
ORGANIZATION'S REP (SIGNATURE)		Root cause(s)	
COMPLETION DATE			
FOLLOW UP REQUIREMENT		Corrective action(s)	
<input type="checkbox"/> Document Proof			
<input type="checkbox"/> Follow up visit			
<input type="checkbox"/> During subsequent surveillance audits			
		Auditor Acceptance of Corrective Action Plan:	
		Signature: _____	
		Auditor	
CONCLUSION			
<input type="checkbox"/> Closed		<input type="checkbox"/> Not Closed	<input type="checkbox"/> Further NCR to be issued NCR No.....
ASSESSOR (SIGNATURE)		Date	



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<i>For office use only</i>			
PART	MAXIMUM MARK	MARKS OBTAINED EVALUATOR -1	MARKS OBTAINED EVALUATOR -2
A			
B			
C			
D			
E			
TOTAL			
TEST RESULT			
DATE OF EVALUATION			
SIGNATURE OF EVALUATOR			

CONCLUSION