



LEAD AUDITOR EXAMINATION THEORY QUESTION PAPER

BMQR-PCD/LA/9001/EQP 01 – T

REV: 01





LEAD AUDITOR QUESTION PAPER



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.



LEAD AUDITOR QUESTION PAPER



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 9001:2015, 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.



LEAD AUDITOR QUESTION PAPER



PART A

TOTAL MARKS: 80
MARKS: 20x1=20
EACH 1 MARK

CHOOSE THE CORRECT ANSWER. ANSWER ALL THE QUESTIONS.

- 1) The process approach emphasizes the importance of:
 - A) Individual performance
 - B) Managing activities as processes
 - C) Isolated decision-making
 - D) Customer complaints

- 2) Which of the following is not a principle of quality management?
 - A) Customer focus
 - B) Evidence-based decision making
 - C) Market dominance
 - D) Relationship management

- 3) Clause 8.7 of ISO 9001:2015 addresses:
 - A) Internal audit
 - B) Control of nonconforming outputs
 - C) Design and development planning
 - D) Organizational knowledge

- 4) The output of management review shall include decisions related to:
 - a) Employee promotions
 - b) Competitor analysis
 - c) Opportunities for improvement
 - d) External auditing

- 5) Which clause number deals with "Leadership and commitment"?
 - A) 6.1
 - B) 4.3
 - C) 5.1
 - D) 8.4



LEAD AUDITOR QUESTION PAPER



6) Which term refers to the "removal of a detected nonconformity"?

- A) Prevention
- B) Elimination
- C) Correction
- D) Mitigation

7) The audit evidence should be:

- A) Subjective
- B) Verified by management only
- C) Sufficient and objective
- D) Collected verbally only

8) Who is responsible for preparing the audit plan?

- A) Auditor
- B) Process owner
- C) Audit team leader
- D) Client

9) In audit, impartiality means:

- a) Avoiding conflicts of interest
- b) Being assertive
- c) Making friends with auditee's
- d) Ignoring weak areas

10) ISO 9001:2015 includes the concept of:

- A) Quality guarantees
- B) Risk-based thinking
- C) Random inspections
- D) Manual-driven controls



LEAD AUDITOR QUESTION PAPER



11) The Plan-Do-Check-Act cycle supports:

- A) Customer service
- B) Continual improvement
- C) Strategic alliances
- D) Profit increase

12) Which clause includes "monitoring, measurement, analysis, and evaluation"?

- A) 9.1
- B) 8.2
- C) 7.3
- D) 6.2

13) Documented information is required:

- A) Only during external audits
- B) As per organizational needs and ISO 9001
- C) When there is nonconformance
- D) For top management only

14) Which of the following is a benefit of internal audits?

- A) External promotion
- B) Process verification and improvement
- C) Increased product sales
- D) Marketing strategy

15) Audit scope defines:

- A) List of questions to ask
- B) Objectives to audit
- C) The extent and boundaries of the audit
- D) Auditor qualifications



LEAD AUDITOR QUESTION PAPER



16) The audit report should be:

- A) Verbally communicated only
- B) Delayed until approval
- C) Accurate, clear, and complete
- D) Published online

17) Customer satisfaction is a:

- A) Suggestion
- B) Regulatory requirement
- C) Quality objective
- D) Policy draft

18) An audit checklist:

- A) Is optional
- B) Ensures consistency and completeness
- C) Should be followed strictly without deviation
- D) Must be shared with external auditors

19) Root cause analysis is conducted during:

- A) Risk assessment
- B) Management review
- C) Corrective action
- D) Planning phase

20) Outsourced processes should be:

- A) Ignored
- B) Fully controlled and monitored
- C) Paid quarterly
- D) Documented only during audit



LEAD AUDITOR QUESTION PAPER

PART B

MARKS: 5x2= 10
EACH 2 MARKS

SHORT ANSWER. ANSWER IN TWO LINES. ANSWER ALL THE QUESTIONS

1) Define "risk-based thinking" in ISO 9001 and its purpose.

2) What are two qualities expected from an effective lead auditor?



LEAD AUDITOR QUESTION PAPER



3) How do you determine the scope of an audit?

4) Why is the initial contact with the auditee important?



LEAD AUDITOR QUESTION PAPER



5) Define "process approach" in your own words.



LEAD AUDITOR QUESTION PAPER



PART C

MARKS: 5x3= 15
EACH 5 MARKS

LONG ANSWER. ANSWER ALL THE QUESTIONS.

- 1) Explain the elements of a well-prepared audit checklist and its importance



LEAD AUDITOR QUESTION PAPER



2) Describe how to verify compliance with documented procedures during an audit.



LEAD AUDITOR QUESTION PAPER



- 3) Discuss how you would handle a situation where the auditee becomes uncooperative during the audit.



LEAD AUDITOR QUESTION PAPER

PART D

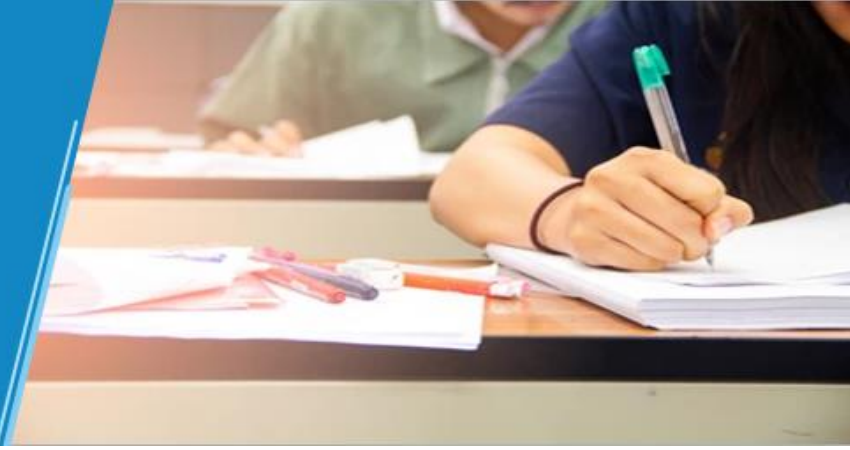
MARKS: 3x5= 15
EACH 5 MARKS

SITUATIONAL JUDGMENT TEST. ANSWER ALL THE QUESTIONS

- 1) A certification audit is planned for "NOVA Tools Pvt Ltd", a tool manufacturer in India. There are 85 employees across 9 departments. Scope: "Design and manufacture of precision hand tools". Prepare a draft audit schedule.



LEAD AUDITOR QUESTION PAPER



- 2) During an audit of the "HR Department", you observe that exit interviews are conducted, but no records are maintained. How will you address this observation?



LEAD AUDITOR QUESTION PAPER



- 3) You are auditing "Metro Plastics Ltd." and notice that equipment calibration records are not traceable. The production head says "they were sent to maintenance". Draft your immediate response and next steps.



LEAD AUDITOR QUESTION PAPER



PART E

MARKS: 10x2=20
EACH 10 MARKS

AUDIT TEST ANALYSIS. ANSWER ONLY ALL THE QUESTIONS.

1) During audit of a packaging unit, you reviewed training records and found one operator handling a sealing machine without any documented evidence of training. His supervisor insists that "on-the-job training" was given and he is experienced.

Questions:

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



LEAD AUDITOR QUESTION PAPER



NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 9001:2015		
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	



LEAD AUDITOR QUESTION PAPER



2) In a review of procurement, you find that several purchases were made from vendors not listed in the approved supplier list. The purchase manager says “the vendors were verbally approved by management during a shortage.”

Questions:

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



LEAD AUDITOR QUESTION PAPER



NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 9001:2015		
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	



LEAD AUDITOR QUESTION PAPER



<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