
Question: 1

A root cause of a nonconformance is defined as a problem that

- A. is discovered by conducting designed experiments
- B. is established through the use of fishbone diagrams
- C. must be reviewed by the material review board
- D. must be corrected in order to prevent a recurrence

Answer: D

Question: 2

When lower-tier documents are compared to higher-tier documents before the fieldwork starts, the comparison is called a

- A. desk audit
- B. process audit
- C. conformance audit
- D. management audit

Answer: A

Question: 3

An audit trail is necessary in order to

- A. schedule and budget for audit assignments
- B. show how and when items were reviewed
- C. provide management with justification for an audit
- D. provide the audit manager with audit results

Answer: B

Question: 4

Which of the following audit strategies is a common technique to assess compliance to a specific requirement at all locations where that requirement is applicable?

- A. Discovery method
- B. Element method
- C. Department method
- D. Process method

Answer: B

Question: 5

Which of the following conclusions can be made by an auditor who observes that statistical process control (SPC) charts posted near operator workstations are done correctly and are regularly completed throughout the plant?

- A. Commitment of management to quality is strong
- B. Processes are being improved continually
- C. Shop floor staff have been fully trained
- D. SPC charts are available

Answer: D

Question: 6

When is it acceptable to grant an extension of the time frame for a corrective action?

- A. When the auditor cannot perform the follow-up audit as scheduled
- B. When the auditee determines that the proposed corrective action is not cost-effective
- C. When the corrective action plan requires more time than originally anticipated
- D. When there has been a change in operators who perform the task

Answer: C

Question: 7

The fraction of nonconforming products is plotted on which of the following types of control charts?

- A. p chart
- B. u chart
- C. np chart
- D. c chart

Answer: A

Question: 8

Auditors can use flowcharts in their work in order to

- A. analyze the causal factors of process dispersion
- B. understand the overall process or system being audited
- C. distinguish variations in a process over time
- D. determine process capability and uniformity

Answer: B

Question: 9

An auditee responds to a corrective action request by stating that the problem has never occurred before and is “not the norm for our operation.” Which of the following is the most appropriate action for the lead auditor?

- A. Note that the deficiency is the result of a random occurrence.
- B. Draft a response explicitly requesting a more concise root-cause analysis.
- C. Confer with the audit client to assess the appropriateness of the response.
- D. Schedule a follow-up audit immediately.

Answer: B

Question: 10

Which of the following is an audit reporting technique for prioritizing audit findings?

- A. Weibull distribution
- B. Risk-benefit ratio
- C. Cognitive dissonance
- D. Ishikawa diagram

Answer: B
