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Topic Break Down

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QUESTION NO: 1

Which of the following is the principal advantage of stratifying audit data by production shift before analyzing the results?

A. It eliminates the need for random sampling.

B. It can reveal meaningful differences that are hidden in combined data.

C. It converts attribute data into variable data.

D. It establishes that one subgroup caused a nonconformity.

ANSWER: B

Explanation:

It can reveal meaningful differences that are hidden in combined data. is correct. Stratification separates data into relevant categories, such as shift, machine, supplier, product family, operator group, or material lot. Analyzing the resulting subgroups can expose patterns or differences that may be obscured when all data are combined into one overall total.

For example, an overall defect rate may appear acceptable while one production shift has a substantially higher rate than the others. The auditor can then use that information to develop focused audit trails and seek objective evidence about conditions unique to the affected subgroup. Stratification does not itself prove causation, but it is a useful method for identifying where further investigation is warranted. See ASQ's Stratification resource.

QUESTION NO: 2

Quality system audits are directed at evaluating the

A. specific procedures that have special significance for a company's quality mission

B. quality aspects of various segments of a company's overall approach to quality management

C. quality aspects of specific processes to measure conformance to quality standards

D. organizational units that each have specific assigned missions

ANSWER: B

Explanation:

quality aspects of various segments of a company's overall approach to quality management is correct because a quality system audit assesses the adequacy, implementation, and effectiveness of the organization's quality management system as a whole. Its scope is based on the applicable management-system requirements and the organization's defined processes, policies, responsibilities, controls, and documented information. The audit considers how these interrelated elements work together to consistently meet customer, regulatory, and organizational requirements and to support continual improvement.

In practical terms, the auditor gathers objective evidence across relevant portions of the system, such as management responsibility, resource support, operational planning and control, performance evaluation, corrective action, and improvement. This system-level perspective permits an auditor to determine whether the quality-management approach is suitably designed and effectively maintained, rather than merely confirming an isolated activity or departmental mission. ISO describes management-system auditing as determining the extent to which audit criteria are fulfilled; this supports evaluating the broader system and its processes in relation to defined requirements. See ISO 19011: Guidelines for auditing management systems and ASQ's Auditing resource overview.

QUESTION NO: 3

Management of an internal audit program should consider all of the following EXCEPT

A. taking ownership of the quality assurance program

B. supporting company objectives, goals, and strategies

C. assuring that audits are a means to evaluate company performance

D. weighing costs versus benefits of conducting an audit

ANSWER: A

Explanation:

taking ownership of the quality assurance program is the exception because managing an internal audit program requires governance, coordination, and support of audits without assuming operational ownership of the quality assurance activities being audited. Audit-program management establishes audit objectives, assigns appropriate resources and competent auditors, develops schedules and methods, monitors completion, and evaluates whether the program achieves its intended results. This role must preserve the impartiality and objectivity necessary for credible audit conclusions.

Quality assurance program ownership belongs with the management and process owners responsible for planning, implementing, maintaining, and improving the organization's quality management system. Internal auditing provides independent evidence about whether those arrangements are effective and conform to applicable requirements; it does not replace management accountability for the system's performance. Maintaining this separation helps ensure that audit results can be trusted by top management and used appropriately in decision-making and improvement. ISO guidance for audit-program management emphasizes managing the audit program in a way that supports organizational objectives while preserving auditor independence and an objective audit process. See ISO 19011:2018—Guidelines for auditing management systems and ASQ's Certified Quality Auditor certification information.

QUESTION NO: 4

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

Explanation:

show how and when items were reviewed is correct because an audit trail is the documented, traceable record of audit activity and evidence. It establishes the sequence of actions taken during an audit, including what was examined, who performed or recorded the review, when it occurred, and the records or evidence supporting resulting conclusions. This traceability makes the audit work reproducible and verifiable: a reviewer can follow the path from the audit objective and criteria to the evidence collected, the observations made, and the final conclusions. It also supports appropriate control of audit records, accountability for decisions, and confidence that findings are based on evidence rather than unsupported opinion. In quality auditing, auditors need sufficient documented information to demonstrate that the audit was conducted systematically and that conclusions are supported by objective evidence. ISO's auditing guidance describes audit evidence as verifiable information used to determine the extent to which audit criteria are fulfilled and identifies documented information as an important audit output. See ISO 19011:2018 Guidelines for auditing management systems and ASQ's overview of quality auditing.

QUESTION NO: 5

The most important objective in the development of a supplier evaluation system is to reduce

A. the number of suppliers

B. the number of audit hours

C. inspection at the customer site

D. inspection at the supplier site

ANSWER: C

Explanation:

inspection at the customer site is correct because an effective supplier evaluation system provides objective evidence that a supplier can consistently meet specified quality, delivery, and service requirements. Evaluation criteria commonly include quality performance, process capability, defect history, corrective-action responsiveness, and results of supplier audits. When those controls demonstrate that supplied material is reliably conforming, the customer can appropriately reduce reliance on receiving inspection of each shipment. This shifts quality assurance upstream: quality is built into and verified through the supplier's processes rather than detected only after material arrives at the customer's facility.

This objective supports risk-based control of externally provided processes. The degree of incoming verification should be proportionate to supplier performance and the risk posed by the purchased product. A capable, well-monitored supplier may qualify for reduced or skip-lot receiving inspection, while the organization continues to review supplier performance and takes action if results deteriorate. Thus, the evaluation system improves confidence in incoming quality and reduces the inspection burden at the customer site without abandoning oversight. ISO 9001 addresses control of externally provided processes in clause 8.4; see the ISO 9001 standard overview. ASQ also describes supplier quality as managing supplier capability and performance: ASQ Supplier Quality resources.

QUESTION NO: 6

Which of the following qualifications would contribute most to an auditor being able to function effectively in various industrial or service disciplines?

A. Familiarity with technical standards and regulations

B. A college degree in a specific technical area

C. A working knowledge of typical corporate organizational structures

D. Extensive background in calibration and metrology techniques

ANSWER: A

Explanation:

Familiarity with technical standards and regulations contributes most because standards and applicable regulatory requirements provide the audit criteria used to assess whether a management system, process, product, or service conforms to defined expectations. This knowledge is transferable across industries: although the specific requirements may differ among sectors, an auditor who can identify applicable requirements, interpret their intent, trace them to objective evidence, and evaluate conformity can work effectively in both industrial and service environments.

Auditors must understand the context in which requirements apply and be able to translate those requirements into meaningful audit questions, sampling activities, and findings. Familiarity with technical standards also supports consistent reporting, because audit conclusions must be based on verifiable evidence against established criteria rather than personal preference or a narrowly specialized technical background. ISO 19011 identifies knowledge of audit principles, management-system standards, and applicable legal and contractual requirements as core competence areas for management-system auditors. ASQ likewise describes auditing as evaluating compliance with established quality-system requirements and standards. See ISO 19011: Guidelines for auditing management systems and ASQ Quality Auditing resources.

QUESTION NO: 7

Which of the following is the primary purpose of calibrating a measurement device?

A. To establish the relationship between indicated values and known reference values

B. To adjust every device to read exactly zero

C. To demonstrate that all inspected product conforms

D. To eliminate measurement uncertainty

ANSWER: A

Explanation:

To establish the relationship between indicated values and known reference values is correct. Calibration compares the indication of a measuring instrument or system with a reference standard of known value and documents the resulting relationship, including any error or uncertainty as applicable. This enables the organization to determine whether the device is suitable for its intended use. Calibration alone does not automatically adjust an instrument, certify product conformity, or eliminate measurement uncertainty. See NIST guidance on metrology and calibration services.

QUESTION NO: 8

Managing the quality audit process includes ensuring that which of the following audit functions occur?

I. Preparing and issuing the annual audit schedule

II. Issuing audit reports in a timely manner

III. Identifying appropriate corrective actions

IV. Assessing the effectiveness of the quality audit process

A. I and II only

B. I and III only

C. II and IV only

D. I, II, and IV only

E. Preparing and issuing the annual audit schedule
II. Issuing audit reports in a timely manner
III. Identifying appropriate corrective actions
IV. Assessing the effectiveness of the quality audit process

ANSWER: D

Explanation:

I, II, and IV only is correct because managing an audit program encompasses planning, executing, controlling, and improving the overall audit process. Preparing and issuing an annual audit schedule is a core program-management activity: it establishes audit priorities, timing, scope, and allocation of competent audit resources in accordance with organizational risk and objectives. Ensuring audit reports are issued promptly is also essential, since timely communication of audit results enables management and process owners to understand findings and act on them while the audit evidence is current. Finally, the audit program itself must be periodically evaluated for effectiveness. This includes monitoring whether audits achieve their objectives, whether auditor competence and resources remain adequate, and whether changes are needed to improve the program. ISO 19011 identifies management of the audit program as including establishing schedules, ensuring reporting, monitoring the program, and reviewing it for improvement. These responsibilities align with the audit-program-management knowledge expected of a Certified Quality Auditor. See ISO 19011:2018—Guidelines for auditing management systems and ASQ's Certified Quality Auditor certification information.

QUESTION NO: 9

The type of chart that presents the value of items in descending order is a

A. histogram

B. Pareto chart

C. u chart

D. cusum chart

ANSWER: B

Explanation:

A **Pareto chart** presents categories as bars arranged in descending order of frequency, count, cost, defects, or another measured value. This ordering makes the “vital few” categories immediately visible, allowing an auditor or quality team to focus improvement resources on the contributors with the greatest impact. Pareto analysis is grounded in the commonly used principle that a relatively small number of causes often account for a large share of an observed problem. The chart may also include a cumulative-percentage line, which helps show how much of the total is represented as categories are added from left to right. In quality auditing, a Pareto chart can be used to summarize nonconformities by type, supplier, process area, or root cause and to prioritize audit follow-up or corrective-action efforts based on objective evidence. ASQ describes the Pareto chart as a bar graph that ranks data in descending order, facilitating prioritization of improvement opportunities. The American Society for Quality’s overview is available at https://asq.org/quality-resources/pareto. Further guidance on selecting and using quality tools, including Pareto analysis, is available from the NIST/SEMATECH e-Handbook at https://www.itl.nist.gov/div898/handbook/.

QUESTION NO: 10

Which of the following requests by an auditor is likely to obtain the most objective evidence for verification?

A. “What kind of information do you receive?”

B. “Who provides the information to you?”

C. “Describe how you receive information.”

D. “Show me the information you have received.”

ANSWER: D

Explanation:

“Show me the information you have received.” is the request most likely to obtain objective evidence because it asks the auditee to provide directly observable, verifiable records or documented information. An auditor can examine the actual information received—such as reports, emails, forms, data files, purchase records, customer requirements, or inspection results—and assess its content, date, source, completeness, control, and conformity with applicable requirements. This allows the audit conclusion to be supported by evidence that can be independently evaluated rather than relying solely on an individual’s recollection or description of a process.

Objective evidence is the information used to support that something exists or is true, and it may be obtained through observation, measurement, testing, or review of records and documents. ISO guidance for auditing emphasizes collecting and verifying audit evidence against audit criteria before it is used as the basis for audit findings. Requesting the actual received information also enables effective traceability: the auditor can follow the evidence to the relevant process, determine how it was handled, and confirm whether required controls were applied. See ISO’s overview of ISO 19011 auditing guidelines and ASQ’s auditing resources.

QUESTION NO: 11

An auditor is assigned to audit a department that the auditor managed until two months earlier. What is the most appropriate action?

A. Proceed with the audit because prior knowledge improves efficiency.

B. Disclose the potential conflict of interest and request reassignment.

C. Audit only the records created after leaving the department.

D. Ask the department manager to approve the audit findings.

ANSWER: B

Explanation:

Disclose the potential conflict of interest and request reassignment. is correct because recent management responsibility for the audited area creates a significant threat to auditor impartiality. The auditor may have influenced the processes, personnel, objectives, or prior decisions that would be evaluated during the audit. The potential conflict should be communicated to the audit program manager or other responsible authority so that the assignment can be changed or appropriate safeguards established. ISO 19011 identifies independence and impartiality as principles essential to credible audit conclusions. See ISO 19011:2018.

QUESTION NO: 12

Which of the following factors related to scheduling would most directly affect the performance of an audit?

A. The client's company policy

B. The scope of the audit

C. The auditee's annual business plan

D. The evaluation of corrective action

ANSWER: B

Explanation:

The scope of the audit is the factor that most directly affects audit performance because it establishes the boundaries of what the audit team must examine. It identifies the organizational units, processes, activities, locations, products, time period, and applicable requirements to be covered. Those boundaries determine the audit duration, number and competency of auditors needed, sequence of audit activities, sampling approach, availability of records, and time that must be scheduled with auditees. A broad or complex scope generally requires more audit time and resources, while a narrowly defined scope permits a more focused schedule. Clear scope definition also enables the audit team to prepare an audit plan that aligns objectives, criteria, and logistical arrangements before the opening meeting. ISO 19011 describes the audit program and audit-planning process, including determining audit objectives, scope, and criteria, and allocating appropriate resources. ASQ's auditing guidance likewise treats defining the audit scope as a foundational planning activity that supports an effective and efficient audit. Therefore, the scope has an immediate operational effect on how the audit is scheduled and performed. See ISO 19011:2018—Guidelines for auditing management systems and ASQ Auditing resources.