

PRACTICE QUESTIONS

PECB

ISO/IEC 42001 Lead Auditor

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EDITION	Free Set 1
QUESTIONS	10
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EXAM	PECB ISO/IEC 42001 Lead Auditor

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10 practice questions for the PECB ISO/IEC 42001 Lead Auditor exam, each followed by its answer and a short explanation. More free sets and the full practice exam: aiexamcerts.com/pecb/iso-iec-42001-lead-auditor. Spotted a mistake? Email support@aiexamcerts.com with the exam name and the question number.

1. What is the purpose of applying the risk-based approach in auditing?
- A Focusing audit effort on the areas that pose greater risk to achieving the audit program objectives
 - B Auditing every requirement with equal depth so that no area is treated differently from another in the report
 - C Skipping high-risk areas to save time and cost, especially when the auditee has a good reputation in the market
 - D Avoiding any risk assessment before the engagement starts, since the audit itself identifies the risks

Answer: A

The purpose is to concentrate effort where the risk to the audit objectives is highest. Auditing every requirement equally is the tempting distractor, because it feels fair and complete, but it spends effort where it adds little.

2. The auditing principle that conclusions are based on verifiable evidence is called the _____ approach.

Answer: evidence-based (also accepted: evidence based)

The evidence-based approach requires that audit conclusions be reliable and reproducible, which means the evidence has to be verifiable. Opinions without evidence are not acceptable grounds for a finding.

3. Who is responsible for managing an audit program under ISO 19011?
- A A person with appropriate competence who is designated to manage the program
 - B The certification body's accountant, who manages the schedule and the fees for each audit
 - C Nobody in particular, since audit programs manage themselves once they are approved
 - D The auditee's chief executive officer, who approves every audit in the program personally

Answer: A

A designated person with the right competence manages the program, including its objectives, resources and review. The chief executive option is the tempting distractor, since leadership sponsors the program, but management sponsorship is not the same as managing the program day to day.

4. Which of these is a step in establishing an audit program?
- A Publishing audit findings before the audits take place so that the auditee can prepare for them
 - B Choosing the coffee and catering supplier for the audit team's days on site
 - C Certifying each auditor individually before the program is approved by the management
 - D Setting the objectives for the audit program, based on the organization's needs and risks

Answer: D

Establishing a program starts with objectives that reflect the organization's needs and risks. Certifying individual auditors is the tempting distractor, because competence matters, but auditor competence is handled through the program's resourcing, not as the first step.

5. An audit program needs no review once it is approved, because the approved schedule is binding for every year that follows.
- A True
 - B False

Answer: B (False)

ISO 19011 expects the program to be monitored and reviewed, so that its objectives are checked and improvements identified. A fixed schedule that is never reviewed cannot respond to changes in risk or performance.

6. Which factors must be considered when determining the extent of an audit program?
- A The size, complexity and nature of the auditee, together with the audit objectives and the risks involved
 - B Only the number of auditors who are available in the current quarter of the year
 - C The price of the audit, the travel cost of the team, and the cost of the report binding
 - D The personal schedule of the lead auditor and the availability of the auditee's executives

Answer: A

The program's extent depends on the size, complexity and nature of the auditee, plus the objectives and the risks. The price of the audit is the tempting distractor, because cost affects every decision, but the standard's factors are about the auditee and the objectives.

7. Audit team members must be _____ for the audit they are assigned, meaning they have the knowledge and skills that audit needs.

Answer: competent

Competence means the auditors have the knowledge and skills for the specific audit, including understanding of the standard and the audited processes. Assigning people who lack the required knowledge undermines the whole audit.

8. Which person should be assigned to an audit team?

- A Only those who are competent for the audit's objectives, scope and criteria
- B Only the auditee's own employees, because they know the processes best and are available on site
- C Anyone who asks to join the team, since interest in the subject is enough to take part
- D Anyone with the most seniority, regardless of whether their skills match the audit's subject

Answer: A

Team members must be competent for the audit's objectives, scope and criteria. Seniority is the tempting distractor, because senior people are usually trusted, but seniority without the right skills does not make an audit competent.

9. Which two elements should an audit program record? (Choose two.)

- A The audit objectives for each audit in the program
- B The audit schedule showing when each audit takes place
- C The team's preferred restaurants for the lunch breaks during the audits
- D A seating plan for the auditors in the auditee's offices and meeting rooms
- E The auditee's marketing slogan and its brand guidelines for the year ahead

Answer: A, B

The program records the objectives and the schedule of its audits, which show what is to be achieved and when. The seating plan is the tempting distractor, because it is a real piece of logistics, but it is an operational detail rather than a program record.

10. A process failed a previous audit with several major nonconformities. How should that history affect the program?

- A It should be ignored, because the process has since been changed and the new version is assumed to work
- B It should lower the process's priority, since the auditee has already been given the chance to fix it
- C It should only be mentioned in the closing meeting, after the audit findings have been agreed
- D It should raise the priority of that process, reflecting its nonconformity history and risk

Answer: D

A process with a poor audit history carries higher risk, so the program should give it more attention. Ignoring the history is the tempting distractor, since the team may believe the process was fixed, but it should be checked, not assumed.