

Questionnaire

Name:	_____
Matriculation number:	_____
Signature:	_____

In order to receive the AMS 19011 Professional Examination Certificate, the examination passed in the multiple-choice procedure must be successfully passed.

Language: English

Duration: 45 minutes

Format: 30 multiple-choice questions; with two to six response possibilities of which one, several or all answers can be correct.

Minimum points: 20 of 30

Each completely correctly answered question gives a point. In the case of incorrectly answered questions, there are 0 points (but no point deduction). A wrong question is answered if a wrong answer is marked, or not all correct ones have been checked.

Aid for completing the answer form:

How do I mark correctly?

For this test, you will receive a questionnaire and a reply form. The answers must be made by means of appropriate markings on the answer sheet. This is evaluated by machine, and handwritten notes are not taken into account. Checkboxes on the questionnaire are not evaluated! For your markings, use only a black or blue ballpoint pen of normal character. The markings must be clearly and precisely positioned through a cross. If you want to correct a check, fill the checkbox completely, which means that this checkbox is evaluated as an empty check box. A new correction is then no longer possible!

Completion of the matriculation number:

At the beginning of the exam, enter your 9-digit matriculation number on the answer sheet in the field provided for this purpose. Then transfer your matriculation number to the boxes below, which are numbered from 0 to 9. The first column corresponds to the 1st digit of your matriculation number, the second column corresponds to the 2nd digit of your matriculation number, etc.

Transferring the right group:

Please transfer the group you find in the questionnaire header to the corresponding field on the answer sheet.

Good luck on the exam!

- 1) Audit team leaders (lead auditors) should have additional knowledge and skills to manage and provide leadership to the audit team, in order to facilitate the efficient and effective conduct of the audit. What should the audit team leader be capable of?
 - a) Represent the audit team in communications with the audit client and auditee
 - b) Manage the audit process (including planning the audit, organizing and directing audit team members as well as preventing and resolving conflicts)
 - c) Provide discipline-specific training to the audit team members
 - d) Balance the strengths and weaknesses of the individual audit team members and develop a harmonious working relationship among the audit team members

- 2) To conduct an audit, in which of the following areas should management system auditors have generic knowledge and skills?
 - a) Management system standards
 - b) Organizational context
 - c) Accreditation requirements and procedures for certification bodies
 - d) Audit principles, procedures and methods

- 3) Which of the following statements are correct with respect to audit findings?
 - a) If audit criteria are selected from legal or other requirements, the related audit finding is termed compliance or non-compliance.
 - b) Audit findings indicate conformity or nonconformity.
 - c) Audit findings are policies, procedures or requirements used as a reference against which audit evidence is compared.
 - d) Audit findings are records, statements of fact or other information which are relevant to the audit criteria and verifiable.

- 4) What should an audit report cover or reference?
 - a) Results from follow-up actions taken by the auditee to address any nonconformities identified during the audit
 - b) Duplicates of all document samples used as audit evidence
 - c) Identification of the members of the audit team and the auditee's participants in the audit
 - d) A statement on the degree to which the audit criteria have been fulfilled

- 5) During a management system audit, you have collected evidence to evaluate the level of conformity of control of documented information (document control). With respect to the requirements from management system standards, which of the following are examples of situations or findings clearly indicating nonconformity?
 - a) The policies and procedures for document control do not address distribution and retrieval.
 - b) A policy specifies for which types of documented information a change history must be recorded to identify the changes between different versions. For some types of documented information, a change history is not required according to the policy.
 - c) Some activities carried out as part of business processes are not recorded.
 - d) Policies are reviewed on an annual basis.

- 6) Which of the following items should be considered during an opening meeting, as appropriate?
- a) Presentation of the methods to be used to conduct the audit
 - b) Confirmation of the audit objectives, scope and criteria
 - c) Introduction of the participants, including observers and guides
 - d) Releasing information on which samples of documented information will be subject to the audit and evaluated to determine the extent to which audit criteria are fulfilled
- 7) In the audit process, which of the following are sub-tasks of the activity "conducting the audit activities"?
- a) Assigning work to the audit team
 - b) Generating audit findings
 - c) Preparing the audit report
 - d) Conducting the closing meeting
- 8) In the context of managing an audit programme, which of the following activities are subject to the phase "Establishing the audit programme"?
- a) Selecting the audit team members
 - b) Establishing procedures for the audit programme
 - c) Selecting the audit methods
 - d) Managing and maintaining audit programme records
- 9) In the context of applying audit methods, which of the following statements are correct?
- a) The feasibility of remote audit activities can depend on the level of confidence between the auditor and the auditee's personnel.
 - b) Interviews may be conducted both on-site or remotely.
 - c) Remote audit activities are only allowed, if the activities do not require human interaction.
 - d) Observation of work performed requires human interaction.
- 10) Which of the following statements are correct with respect to guides and observers?
- a) Guides may witness the audit on behalf of the auditee, provide clarification or assist in collecting information during the audit.
 - b) For third party audits, observers are not allowed.
 - c) Guides are responsible for ensuring that rules concerning location safety and security procedures are known and respected by the audit team members and observers.
 - d) Guides are responsible for arranging access to specific locations of the auditee.

- 11) For a management system audit, the following requirements are part of the audit criteria: "The organization shall ensure that persons doing work under its control are competent on the basis of appropriate education, training, or experience. The organization shall, where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken." Which of the following are examples of situations or findings clearly indicating nonconformity?
- a) No records of education, training and awareness are available. An interview reveals that for a number of persons doing work under the organization control, responsible line managers are not aware whether or not these persons are sufficiently competent to execute their roles.
 - b) For certain activities, new employees are trained on the job by experienced workers. There is no formal off the job training complementing the trainee programme.
 - c) The training and awareness programme covers about 20 different training modules. Based on the importance of the training success for business operations, top management decided that a formal evaluation of the effectiveness is only done for half of the training and awareness modules. This decision is reviewed annually, as part of the management review.
 - d) A person doing work as part of an important business process for quite a while is not able to operate a major software application according to the process. She did not receive any training on this topic.
- 12) With respect to sampling, which of the following statements are correct?
- a) Variable-based sampling is used when the sample outcomes occur in a continuous range.
 - b) "When a statistical sampling plan is developed, the level of sampling risk that the auditor is willing to accept is an important consideration.
 - c) A sampling risk of 10 % means the auditor is willing to accept the risk that 90 out of 100 (or 9 in 10) of the samples examined will not reflect the actual values that would be seen if the entire population was examined.
 - d) Judgement-based sampling may be based on attribute-based sampling or variable-based sampling.
- 13) Which of the following are a purpose of the opening meeting which may take place prior to conducting the audit activities?
- a) Ensure that no nonconformities will be found during the audit
 - b) Ensure that all nonconformities from previous audits have been addressed and, if possible, resolved
 - c) Confirm the agreement of all parties to the audit plan
 - d) Ensure that all participants in the audit are fluent in the language of the lead auditor
- 14) With respect to collecting and verifying information while an audit is conducted, which of the following statements are correct?
- a) Audit findings are reviewed under consideration of the audit objectives to identify audit evidence.
 - b) Interviews and observations are methods of collecting information during an audit.
 - c) The results of evaluating audit findings against audit criteria is called audit conclusions.
 - d) All available information related to the management system act as audit evidence.
- 15) Which of the following steps are typically involved in audit sampling?
- a) Identifying the risks connected to audit sampling
 - b) Selecting the extent and composition of the population to be sampled
 - c) Compiling, evaluating, reporting and documenting results
 - d) Selecting a sampling method

- 16)** Which of the following situations are compatible with the principles and guidelines for auditing management systems according to ISO 19011?
- a) No agreements have been made between the auditor, the audit client and the auditee on how and to whom the audit report will be distributed. Following the on-site audit activities, the auditor distributes the report to all staff members involved in the activities that were subject to the audit.
 - b) A member of top management performs a management review to understand if the management system under their accountability has been adequately and effectively implemented. Results from internal audits are considered as input for the management review.
 - c) An internal audit is conducted where only documented information is used as audit evidence.
 - d) An internal audit has been conducted. The lead auditor reports the findings and conclusions verbally to the person in charge of managing the audit programme. A documented audit report is not created.
- 17)** Roles involved in an audit include auditors, observers, guides and technical experts. Which of the following statements are correct?
- a) A translator is an example of a technical expert assisting the auditor(s) in an audit team.
 - b) Auditors in training (trainees) may be members of an audit team.
 - c) A guide is a person who provides specific knowledge or expertise to the audit team.
 - d) Technical experts may be members of an audit team.
- 18)** Which of the following answers reflect two subsequent activities in the audit process in the correct order?
- a) Conducting audit follow-up (if specified in the audit plan) & completing the audit
 - b) Preparing audit activities & conducting the audit activities
 - c) Completing the audit & preparing and distributing the audit report
 - d) Establishing the audit programme & implementing the audit programme
- 19)** Which of the following statements are correct with respect to audits?
- a) During an audit, audit evidence is obtained to evaluate it objectively to determine the extent to which the audit criteria are fulfilled.
 - b) When two or more auditing organizations cooperate to audit a single auditee, this is termed a combined audit.
 - c) An audit is a systematic, independent and documented process.
 - d) Internal audits are sometimes referred to as first party audits.
- 20)** As part of a management system audit, you are planning a visit to a production site housing assembly lines and heavy machinery. As the lead auditor, what should you take into account?
- a) Ensure permission and access to relevant parts of the location
 - b) Ensure that there is no scheduled or unplanned maintenance happening during on-site audit activities
 - c) Ensure that all machinery is shut down during on-site audit activities
 - d) Confirm with the auditee that any required personal protective equipment (PPE) will be available for the audit team

- 21)** In the audit process, which of the following are sub-tasks of the activity "preparing audit activities"?
- a) Conducting the opening meeting
 - b) Preparing work documents
 - c) Determining the feasibility of the audit
 - d) Preparing the audit plan
- 22)** Which of the following statements are correct with respect to communicating during the audit?
- a) Evidence collected during the audit that suggests an immediate and significant risk to the auditee should be reported without delay to the auditee and, as appropriate, to the audit client.
 - b) Evidence collected during the audit that indicates a nonconformity against audit criteria should be reported without delay to the auditee and, as appropriate, to the audit client.
 - c) The lead auditor should periodically communicate the progress of the audit and any concerns to the auditee and audit client, as appropriate.
 - d) Opportunities for improvement should be reported to the auditee and, as appropriate, to the audit client, immediately after they have been identified.
- 23)** During a management system audit, you have collected evidence to evaluate the level of conformity of performance evaluation and continual improvement. With respect to the requirements from management system standards, which of the following are examples of situations or findings clearly indicating nonconformity?
- a) During the last internal audit, nonconformities have been identified and recorded.
 - b) During an internal audit, a number of suggestions for improvement have been identified and recorded. Some of these suggestions have not been implemented.
 - c) The implementation status of audit follow-up actions is unclear. While actions have been defined, it is unclear which of these actions have already been implemented or who is responsible for actions that are still open.
 - d) An internal audit programme has been defined. Due to the small size of the organization, all audits have been conducted by top management.
- 24)** Which of the following are valid examples of activities that may be carried out to monitor an audit programme?
- a) To evaluate whether or not audits have been conducted as scheduled
 - b) To evaluate to which extent audit reports have been delivered in a timely manner, according to plans and procedures
 - c) To evaluate to which extent audit objectives have been achieved for the audits that are part of the audit programme
 - d) To review a piece of documented information of the management system that is subject to an audit, and evaluate if audit criteria are fulfilled
- 25)** Which of the following are principles of auditing according to ISO 19011?
- a) Evidence-based approach
 - b) Customer focus
 - c) Continual improvement
 - d) Leadership

- 26)** For a management system audit, the following requirements are part of the audit criteria: "Top management shall establish, implement and maintain a quality policy. The quality policy shall be available and be maintained as documented information, communicated, understood and applied within the organization, and be available to relevant interested parties, as appropriate." Which of the following are examples of situations or findings clearly indicating nonconformity?
- a) A law firm has been identified as one of the interested parties to the organisation operating the management system. The quality policy has not been made available to the law firm however, since it was determined that the policy is not relevant for this specific stakeholder.
 - b) Everybody seems to be aware of the quality management principles. However, the quality policy has not been documented.
 - c) The quality policy is much shorter than in other comparable organisations operating a similar management system.
 - d) The quality policy is only stored and made available at a location with restricted access. For security purposes, only a small percentage of employees have access to that storage location and therefore to the policy. The limitation of access to the storage location is in line with company security policies.
- 27)** With respect to drawing audit findings and conclusions, which of the following statements are correct?
- a) When determining audit findings, the sample size and related confidence level should be considered.
 - b) Audit findings should be based on audit conclusions and take into account audit objectives.
 - c) During an audit, it should be avoided to identify findings related to multiple criteria.
 - d) For records of nonconformity, the description of or reference to audit criteria, audit evidence and related audit findings should be considered
- 28)** During a management system audit, you have collected evidence to evaluate the level of conformity of understanding the organization and its context, understanding the needs and expectations of interested parties and determining the scope of the management system. With respect to the requirements from management system standards, which of the following are examples of situations or findings clearly indicating nonconformity?
- a) The scope of the management system excludes one of the company's major business areas.
 - b) The interested parties that are relevant to the management system have not been determined.
 - c) The scope of the management system has not been defined.
 - d) The stakeholder analysis includes customers, suppliers, partners and authorities as interested partners, together with their requirements.
- 29)** Which of the following should be considered when conducting a document review?
- a) Check if the information in the documents provided is unique (e.g. has not been copied / duplicated from internet sources)
 - b) Check if the information in the documents provided has not been protected by copyright by any third party
 - c) Check if the information in the documents provided has not been changed / updated during the last 8 weeks before the audit
 - d) Check if the information in the documents provided is consistent

- 30)** An audit programme should include information and resources necessary to organize and conduct its audits effectively and efficiently. Which of the following can be part of these information?
- a) Detailed logistic arrangements for a single audit
 - b) Necessary resources, including travel and accommodation.
 - c) Objectives for the audit programme and individual audits
 - d) Extent, number, types, duration, locations and schedule of the audits.