

Date: \_\_\_\_\_

Name: \_\_\_\_\_ Place: \_\_\_\_\_

## QUIZ – Internal Auditor Course

Note: This is an open-book quiz. Participants may use all materials used or created during the course. All members of each group are to discuss their answers together and each participant is to make their own decision on the correct answer. There is one “best” answer for each question.

1. A non-conformance is defined as:
  - a. not meeting the requirements of the standard
  - b. non-fulfilment of specified requirements
  - c. not meeting the requirements of the quality system
  - d. the root cause of an inability to produce competent results
2. What is the difference between a non conformance and a potential non conformance?
  - a. there is no difference – they are the same
  - b. a non conformance has already been identified, a potential non conformance is a non-conformance that may, or may not, yet occur
  - c. a potential non conformance is a non conformance that will definitely occur, but in the future
  - d. non conformances are much more serious than potential non conformances.
3. The principle reason for an audit is to:
  - a. develop a list of non-conformances so that the laboratory can change their system
  - b. help the laboratory improve their processes
  - c. check to see if the laboratory complies with all given requirements
  - d. facilitate the laboratory's demonstration of conformance to given requirements.
4. The audit cycle consists of the following four steps:
  - a. Planning, conducting, review and close out
  - b. Planning, program, conducting, and close out
  - c. Program, conducting, close out and review
  - d. Planning, program, close out, and review
5. The internal audit cycle is normally approved by top management:
  - a. True
  - b. False
6. Agreement is not necessary in planning internal audits. Once told, people will know what is expected.
  - a. True
  - b. False
7. Surprises are:
  - a. OK
  - b. Good
  - c. Bad
  - d. Unavoidable

8. The **internal audit program** normally contains the following information:
- Areas to be audited and documents to be used as references
  - Names of auditors and expected audit timelines
  - Areas to be audited and durations of each audit
  - Audit timelines and durations
9. What does an **internal audit plan** normally contain?
- Scope, objectives, timings and location of records
  - Audit team names, date, objectives and timings
  - List of staff participants, scope, objectives and logistic details
  - Timings, scopes, locations and audit reference documents
10. A document review is not always required in preparation for an onsite audit.
- False
  - True
11. Checklists should really be developed:
- During or after the document review
  - Onsite
  - Prior to first contacting the auditee
  - From the accreditation body checklist
12. Opening meetings are not really necessary for internal audits, just external assessments.
- True
  - False
13. Confidentiality during an internal audit is the responsibility of:
- Auditor(s)
  - Auditee(s)
  - ISO
  - The accreditation body
14. The first words expressed by auditor(s) during any meeting should be:
- Nice to meet you
  - Here is what we are looking for
  - Thank you
  - Is it OK if I sit here?
15. The four types of meetings during an internal audit are:
- Opening, closing, interview and interim
  - Opening, interview, wash-up and interim
  - Opening, interview, wash-up and closing
  - Opening, wash-up, interim and closing
16. Auditors are allowed to respond to auditee hostility with a little hostility of their own.
- True
  - False

17. Auditors need to take good notes to:
- a. Identify who has made the mistakes
  - b. Record evidence to support requirements
  - c. Record evidence to support findings
  - d. Look thorough
18. Audit findings are for the auditee to undertake corrective action:
- a. True
  - b. False
19. Findings must:
- a. Have the agreement of the accreditation body
  - b. Have the agreement of the quality manager
  - c. Be supported by audit evidence
  - d. Be written in pen
20. Audit evidence **must**:
- a. Be recorded
  - b. Be available to the quality manager
  - c. Be agreed by the auditee
  - d. Be gathered by the auditee
21. The following people are responsible for the content and format of the audit report:
- a. Top management, the accreditation body, and the auditees share this responsibility
  - b. The auditees
  - c. The auditor
  - d. Admin staff
22. Audit reports normally contain the following information:
- a. Non conformances, scope, objectives, report numbers and auditee documents
  - b. Scope, auditor names, auditee agreement and corrective actions
  - c. Preventive actions, QMS status, audit evidence and areas visited
  - d. Objectives, report numbers, findings, and recommendations
23. Each finding must be supported by audit evidence:
- a. True
  - b. False
24. Closing meetings are generally:
- a. Shorter than opening meetings because everyone is already acquainted
  - b. Longer than opening meetings because of the fighting
  - c. Similar to opening meetings
  - d. A formal meeting to present the outcomes of the audit.
25. Document review is the most important audit activity to be completed prior to the actual onsite visit:
- a. True
  - b. False