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36	☐ A	☐ B	☐ C	☒ D	☐ E
37	☐ A	☐ B	☒ C	☐ D	☐ E
38	☐ A	☐ B	☐ C	☒ D	☐ E
39	☐ A	☒ B	☐ C	☐ D	☐ E

PRACTICE QUESTIONS

American Society For Quality (ASQ)

CQAEN2

Certified Quality Auditor

EDITION

Demo

QUESTIONS

9

FORMAT

Limited Edition PDF

Before you begin

What this is

9 practice questions for American Society For Quality (ASQ) CQAEN2 , each with its answer key and an explanation. Answer a question before you read its key — the explanation is worth more once you have committed.

If something looks wrong

Send us three things and we will check it:

- the exam code, CQAEN2
- the question number
- the email address on your order

Write to **support@mometrix.net**. We reply within one business day.

QUESTION 1

SINGLE CHOICE

A quality auditor is preparing for an audit of a medical device manufacturing organization. Which of the following is the PRIMARY input the auditor should use to determine audit scope and develop the audit plan?

- ☐ A A list of corrective actions issued in the previous audit cycle
- ☒ B The audit charter, prior audit results, and the documented scope of the management system
- ☐ C The salary levels of personnel within the audited department
- ☐ D A random sampling of customer purchase orders

ANSWER B

WHY Per ISO 19011 and ASQ CQA guidance, audit planning begins with defined inputs such as the audit charter/program, prior audit findings, the management system's documented scope, and applicable standards. Corrective action logs (A) are inputs but not the primary basis. Salary data (C) and random purchase orders (D) are not legitimate audit inputs.

QUESTION 2

SINGLE CHOICE

During a manufacturing process audit, an auditor observes an operator skip a quality inspection step. The operator states the step was verbally waived by the supervisor 'because we are behind schedule.' Which course of action BEST reflects auditor objectivity and proper evidence handling?

- ☐ **A** Accept the verbal waiver and continue with the audit without recording the observation
- ☒ **B** Record the observation as objective evidence, note the absence of documented authorization, and cite it as a finding
- ☐ **C** Discuss the issue only with the production manager and informally agree to retrain the operator later
- ☐ **D** Report the operator for disciplinary action in the audit report

ANSWER B

WHY Auditors must base findings on objective evidence and must not allow schedule pressure to override documented procedures. A verbal waiver not supported by documentation constitutes a nonconformance with the QMS. Options A and C compromise auditor independence and objectivity. Option D exceeds the auditor's role — discipline is management's responsibility, not the auditor's.

QUESTION 3

SINGLE CHOICE

Which statement BEST describes the difference between a first-party, second-party, and third-party audit?

- ☐ A First-party audits are conducted by external registrars; second-party audits by internal staff; third-party audits are not allowed in ISO systems
- ☒ B First-party audits are internal audits; second-party audits are conducted by customers on suppliers; third-party audits are conducted by independent certification bodies
- ☐ C All three audit types are conducted exclusively by government regulators
- ☐ D The three terms refer to different software tools used to manage audits

ANSWER B

WHY First-party audits are internal self-assessments; second-party audits are performed by a customer on its supplier; third-party audits are performed by an independent certification body (e.g., an accredited registrar) for purposes such as ISO 9001 certification. Options A, C, and D are incorrect descriptions.

QUESTION 4

SINGLE CHOICE

During the opening meeting of a quality audit, the lead auditor should PRIMARILY:

- ☐ A Present detailed statistical analyses of previous audit findings
- ☒ B Confirm the audit scope, objectives, criteria, schedule, and communication channels with auditee management
- ☐ C Negotiate the audit fee with the audited organization
- ☐ D Issue nonconformities for issues observed prior to the opening meeting

ANSWER B

WHY The opening meeting establishes understanding of the audit's scope, objectives, criteria, schedule, methods, and lines of communication. Statistical analyses (A) are not a standard opening meeting element. Fee negotiation (C) occurs before the audit, and issuing nonconformities at the opening meeting (D) violates proper audit sequence.

QUESTION 5

SINGLE CHOICE

An auditor encounters a recurring customer complaint about a molded part dimension. The process has multiple potential causes. Which quality tool is BEST suited to identify the most likely root cause by organizing potential causes into categories?

- ☐ A Control chart
- ☒ B Fishbone (Ishikawa) diagram
- ☐ C Pareto chart
- ☐ D Histogram

ANSWER B

WHY The fishbone (Ishikawa, or cause-and-effect) diagram organizes potential causes of a problem into categories (e.g., Man, Machine, Method, Material, Measurement, Environment) to aid root-cause analysis. Control charts (A) monitor process stability; Pareto charts (C) prioritize problems by frequency; histograms (D) show data distribution.

QUESTION 6

SINGLE CHOICE

An auditor samples 20 invoices from a population of 2,000 and finds 3 contain mathematical errors. Which audit sampling concept BEST describes this situation?

- ☐ A Judgmental sampling based solely on auditor convenience
- ☒ B Statistical sampling with a defined sample size drawn from a known population
- ☐ C Discovery sampling used for fraud detection
- ☐ D Stop-or-go sampling used during product recalls

ANSWER B

WHY Selecting a defined sample (20) from a known finite population (2,000) and evaluating it against criteria is statistical sampling. Judgmental sampling (A) is non-random and based on auditor discretion. Discovery sampling (C) is a specialized low-probability technique, and stop-or-go (D) is a sequential sampling plan—neither matches this scenario.

QUESTION 7

SINGLE CHOICE

Which of the following is MOST important to include in a written audit plan communicated to the auditee before the on-site audit?

- ☐ A Names of all auditees' competitors
- ☒ B Audit objectives, scope, criteria, methods, schedule, and resource requirements
- ☐ C Detailed salary information of the lead auditor
- ☐ D The auditor's personal travel itinerary

ANSWER B

WHY A proper audit plan documents objectives, scope, criteria, methods (e.g., document review, interviews, observation), timing, and resource needs. Competitor names (A), auditor salary (C), and personal travel details (D) are irrelevant and inappropriate for the audit plan.

QUESTION 8

SINGLE CHOICE

During an ISO 9001 audit, the auditor discovers that the organization has no documented procedures for control of documents required by the standard. This has resulted in several outdated procedures being used in production. How should this MOST appropriately be classified?

- ☐ A Observation only, since the issue is administrative
- ☐ B Minor nonconformity because the procedures exist in some form
- ☒ C Major nonconformity because the absence of a required documented procedure has resulted in systemic use of outdated documents
- ☐ D Not a finding, because ISO 9001 does not require any procedures

ANSWER C

WHY A major nonconformity involves the absence of, or total breakdown in, a system/process required by the standard, or multiple related minor nonconformities against one clause that show systemic failure. The complete absence of required document control with evidence of breakdown (outdated procedures in use) is correctly classified as a major nonconformity.

QUESTION 9

MULTIPLE CHOICE

An auditor is developing a checklist for an audit of the purchasing process. Which of the following items should be included in the checklist? (Choose two.)

- ☒ **A** Criteria for evaluating the effectiveness of supplier controls
- ☐ **B** A list of specific corrective actions the auditee must implement
- ☒ **C** References to relevant quality management system clauses and procedures
- ☐ **D** The names of individual suppliers scheduled for de-sourcing
- ☐ **E** The auditor's personal opinion on supplier performance

ANSWER A - C

WHY An audit checklist should reference audit criteria (such as ISO 9001 clauses, internal procedures, and contractual requirements) and define what the auditor will look for in evaluating process effectiveness. It should not pre-determine corrective actions, name individuals for personnel decisions, or include the auditor's personal opinions—doing so would compromise audit objectivity and independence.