



## SAMPLE EXAMINATION

The purpose of the following sample examination is to present an example of what is provided on exam day by ASQ, complete with the same instructions that are given on exam day.

The test questions that appear in this sample examination are retired from the CHA pool and have appeared in past CHA examinations. Since they are now available to the public, they will NOT appear in future CHA examinations. This sample examination WILL NOT be allowed into the exam room.

Appendix A contains the answers to the sample test questions. ASQ will not provide scoring and analysis for this sample examination. Remember: These test questions will not appear on future examinations so your performance on this sample examination may not reflect how you perform on the formal examination. A self-appraisal of how well you know the content for the specific areas of the body of knowledge (BOK) can be completed by using the worksheet in Appendix B.

On page 2 of the instructions, it states “There are 135 questions on this 4-hour examination.” Please note that this sample exam only contains 30 questions.

If you have any questions regarding this sample examination, please email [cert@asq.org](mailto:cert@asq.org)

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NAME \_\_\_\_\_

## CERTIFIED HACCP AUDITOR

→ Please print your name above. Read all the instructions before beginning the examination. If you are unsure about any part of the instructions, consult your proctor. In order for ASQ to be able to properly scan the Scantron answer sheet you **must** completely fill in the circle. Each circle **must** be filled in dark enough for the scanner to properly pick up the answer you chose. If not this could result in the exam not being scored correctly, or potentially delay your results.

### General Instructions

All answers **must** be recorded on the Scantron Answer Sheet; no exam will be graded with the answers marked in the exam booklet.

1. Using a soft lead pencil (#2 or softer) only, blacken the circle of the correct answer. **Do not use ink.** If you change your answer, be sure to erase the previous answer completely.
2. Each question has **ONE** correct answer only.
3. This is a timed test; do not linger over difficult questions. Instead, skip the questions of which you are unsure; return to them when you reach the end of the test.
4. Do not fold, staple, or tear the answer sheets.
5. Although this is an open book examination and personally generated materials/notes from training or refresher courses **are** allowed, the following conditions apply:
  - Each examinee must make his/her reference materials available to the proctor for review.
  - Absolutely no collections of questions and answers or weekly refresher course quizzes are permitted. Reference sources that contain such copy are not allowed unless the questions and answers are removed or obscured. **Examples of such sources include but are not limited to refresher and preparatory primers.**
  - **Calculator Policy:** With the introduction of palmtop computers and increasing sophistication of scientific calculators, ASQ has become increasingly aware of the need to limit the types of calculators that are permitted for use during the examinations. **Any silent, hand-held, battery-operated calculator WITHOUT an alphabetic keyboard will be permitted; however, all programmable memory must be cleared from the calculator before you enter the exam room.** The examination is written so that a simple calculator will be sufficient to perform calculations.
  - No laptop or palmtop computers are allowed.
  - No Cell Phones are allowed in exam room
  - Reference materials and calculators may not be shared.
6. When you have finished, check your answer sheet to be sure it is properly identified with your name and member number. Return your examination booklet, answer sheet, examinee comment form and scratch paper to your proctor. You must sign the roster sheet to signify the return of your test booklet.
7. It is strictly forbidden to copy or remove examination materials. You will be disqualified from the examination and not certified by ASQ if you breach this trust.
8. **TEST RESULTS** – you can check your test results 7-9 days after the exam date by logging into the [www.asq.org](http://www.asq.org) website and navigating to the Certification webpage. Otherwise, your exam results will be mailed in approximately three weeks. **Please Be Patient** we do not answer telephone requests for results.



## CERTIFIED HACCP AUDITOR Test

Directions: Each of the questions or incomplete statements below is followed by four suggested answers or completions. Select the one that is best in each case and then fill in the corresponding space on the answer sheet.

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1. Who makes the final determination regarding the distribution of the audit report?
  - (A) Lead auditor
  - (B) Audit group manager
  - (C) Auditee
  - (D) Client
  
2. When lower-tier documents are compared to higher-tier documents before the fieldwork starts, the comparison is called a  
  - (A) desk audit
  - (B) process audit
  - (C) conformance audit
  - (D) management audit
  
3. Measures of which of the following provide attributes data?
  - (A) Temperature in degrees
  - (B) Attendance at meetings
  - (C) Weight in pounds
  - (D) Length in metric units
  
4. Which of the following is true about the calibration of CCP monitoring equipment?
  - (A) It is required during a HACCP plan reassessment.
  - (B) It must be conducted on a monthly basis.
  - (C) It must be performed when there is a deviation from a critical limit.
  - (D) It is fundamental to the implementation of a HACCP plan.
  
5. To determine whether a finding is a minor, isolated incident or a serious, chronic problem, an auditor should consult with the  
  - (A) auditee's quality assurance inspector
  - (B) auditee's department manager
  - (C) audit team
  - (D) client
  
6. Which of the following is an example of a prerequisite program?
  - (A) Good manufacturing practices
  - (B) Design of experiments
  - (C) Statistical process control
  - (D) Ingredient receiving and handling
  
7. Any significant risks associated with a product should be addressed at which of the following HACCP plan steps?
  - (A) Product description
  - (B) Verification
  - (C) Hazard analysis
  - (D) Monitoring
  
8. An auditee has responded to all requests for corrective action in a timely manner. Which of the following is the next step for the auditor?
  - (A) Close all those findings in which the response is accompanied by adequate objective evidence.
  - (B) Evaluate the adequacy of the responses.
  - (C) Schedule a follow-up audit to verify corrective action.
  - (D) Schedule a follow-up audit for critical items and schedule verification for other routine items at the next scheduled audit.

CHA-SAMPLE EXAM

9. A root cause of a nonconformance is defined as a cause that
- (A) is determined by conducting carefully designed experiments
  - (B) is established in the fishbone diagrams
  - (C) must be documented on a change request form by the material review board
  - (D) must be corrected to prevent a recurrence
10. While performing an internal audit, an auditor notices that an operator on one shift skips part of the documented procedure. In this situation, the auditor should do which of the following?
- (A) Make a note on the checklist and initial it.
  - (B) Report it to the operator's supervisor or manager.
  - (C) Question the operator about the observation.
  - (D) Ask another operator to evaluate the situation.
11. The most important result of an effective corrective action procedure is that it
- (A) enables operating personnel to make real-time decisions
  - (B) prevents faulty products from entering the product stream
  - (C) provides a short-term solution to the cause of a CCP deviation
  - (D) increases regulatory agency confidence in the company's HACCP system
12. Which of the following statements is true about critical limits?
- (A) They are based on average values.
  - (B) They are the same as operating limits.
  - (C) They are established for quality control.
  - (D) They are determined after a hazard analysis.
13. Which of the following elements is contained in a hazard analysis?
- (A) Product specifications
  - (B) Location of safety switches
  - (C) Personal protection equipment
  - (D) Injury or illness risks
14. A root cause analysis can best be described as a process that is used to
- (A) evaluate corrective action plans
  - (B) determine the basic reason for an undesirable condition
  - (C) identify the symptoms of an undesirable condition
  - (D) differentiate between major and minor problems
15. An auditee is likely to be most threatened by an auditor's use of which of the following interviewing techniques?
- (A) Paraphrasing an auditee's response while writing it down
  - (B) Being silent while waiting for an auditee to respond to a question
  - (C) Underlining key facts when recording an auditee's response
  - (D) Using a tape recorder to record an auditee's response
16. Which of the following qualifications would contribute most to an auditor being able to function effectively in various industrial or service disciplines?
- (A) A familiarity with technical standards and regulations
  - (B) A bachelor's or associate's degree in a technical area
  - (C) A working knowledge of typical corporate organizational structures
  - (D) A general background in calibration and metrology techniques

17. A HACCP plan should be validated by conducting a
- (A) HACCP audit
  - (B) quality systems audit
  - (C) technical review
  - (D) design review
18. The main function of an audit checklist is to
- (A) identify the specific products to be examined
  - (B) serve as a guide for members of the audit team
  - (C) save time by auditing only the items listed
  - (D) expedite the preparation of the final audit report
19. During an audit, the client learns that the auditor has recently completed a quality system audit of a major competitor. The client then questions the auditor about the competitor's audit results. The best action for the auditor to take is to
- (A) discuss the results of the audit with the client, because the results were outstanding and should be considered for benchmarking
  - (B) go offline with the client, explain that the question is unethical, and that if the client persists, additional action by the auditor will be taken
  - (C) explain to the client that it would be inappropriate to discuss the results of that audit
  - (D) obtain permission from the competitor to use the results of the audit as examples for any future client, provided that the examples are not specific to business affairs or technical processes
20. An audit schedule is an integral part of which of the following phases of the auditing process?
- (A) Initiation
  - (B) Preparation
  - (C) Closing
  - (D) Reporting
21. Which of the following is true of a HACCP training program?
- (A) All HACCP training must be done prior to the start of the development of the HACCP plan.
  - (B) HACCP training is best done by an independent third party to avoid conflict of interest.
  - (C) Every employee at the plant should have a complete knowledge of each CCP.
  - (D) Employees should learn what HACCP is, and then learn the skills necessary to make it function properly.
22. Which of the following is most important for an auditor to convey at an initial audit interview?
- (A) A give-and-take atmosphere that focuses on compromise
  - (B) A formal approach that is guided by specific roles for each participant
  - (C) An interest in cooperation and open dialogue
  - (D) A personal approach to information gathering
23. For third-party audits, which of the following factors should be considered by the auditor when agreeing to the amount of time needed to complete corrective action?
- (A) The resources available to the auditor for determining when follow-up can occur
  - (B) The availability of the auditor for verifying that appropriate corrective action was taken
  - (C) The auditee's experience in project evaluation techniques
  - (D) The number of findings recorded during the audit
24. Who should be responsible for conducting a formal verification of the system procedures of a HACCP program?
- (A) An operator monitoring the CCP
  - (B) A quality assurance auditor
  - (C) The company's management team
  - (D) The HACCP team

CHA-SAMPLE EXAM

25. Which of the following represents a management commitment to move HACCP beyond regulatory compliance?
- (A) Requiring all suppliers to implement HACCP plans or systems
  - (B) Requiring certificates of analysis on all incoming materials
  - (C) Establishing critical limits for all critical control points
  - (D) Providing documentation of all deviations and corrective actions
26. Supplier approval would most likely be found in which of the following prerequisite programs?
- (A) Production control
  - (B) Storage and distribution
  - (C) Control of raw materials
  - (D) Production equipment
27. During the closing meeting, what is the advantage of having the lead auditor be the only presenter of the audit findings?
- (A) The auditee will have one person with whom to interact and address comments to.
  - (B) The lead auditor may be the only team member who has verified each finding personally.
  - (C) The lead auditor has the most experience in dealing with the auditee's management.
  - (D) The lead auditor makes the auditee feel more responsible for corrective action of the findings presented.
28. Rank order, from first to last, the following steps in the development of a HACCP plan.
- 1. Identify potential hazards
  - 2. Construct a process flow diagram
  - 3. Describe the product and its intended use
  - 4. Analyze hazards
- (A) 1, 4, 2, 3
  - (B) 2, 3, 4, 1
  - (C) 3, 2, 1, 4
  - (D) 3, 2, 4, 1
29. An audit report should contain which of the following?
- (A) Audit findings
  - (B) Root cause analysis
  - (C) Corrective action
  - (D) Re-audit schedule
30. During a HACCP audit, it is most important for an auditor to review
- (A) monitoring records
  - (B) training records
  - (C) maintenance records
  - (D) shipping records

**END OF EXAM**

**IF YOU FINISH BEFORE TIME IS CALLED, YOU MAY GO BACK AND CHECK YOUR WORK ON THIS TEST.**

**APPENDIX A: Answer Sheet**

For each sample test question, the correct answer is provided below along with the area of the body of knowledge (BOK) that the item is classified to. This sample examination is not intended to represent all areas of the BOK but to provide a sampling from each major topic area. All ASQ examinations are based on the BOK for that particular exam. To view the BOK for CHA, please go to <http://www.asq.org/certification/haccp-auditor/bok.html>

Question	BOK	Correct Answer
1	IV.E.3	D
2	IV.C.8	A
3	VII.F.1	B
4	II.F.2	D
5	V.B.5	C
6	I.D.4	A
7	I.C.2	C
8	V.D.3	B
9	VII.B.1	D
10	IV.A.6	C
11	II.E.2	B
12	II.C.1	D
13	II.A.1	D
14	VII.B.1	B
15	VI.D.2	D

Question	BOK	Correct Answer
16	VI.A.1	A
17	II.F.4	C
18	V.A.3	B
19	IV.F.4	C
20	V.A.1	B
21	I.D.4	D
22	VI.D.3	C
23	II.D.2	D
24	III.C.5	B
25	I.B.3	A
26	I.D.4	C
27	V.B.8	A
28	I.E.1	C
29	V.C.1	A
30	III.C.1	A

**APPENDIX B: Analyzing Body of Knowledge (BOK) Content**

The following worksheet can be used to help you analyze the results of your answers on this sample examination. It can be used to determine which areas of the body of knowledge (BOK) you may want to study.

After learning which sample test questions you had correct, total the number you had correct and enter that number into the 2<sup>nd</sup> column of the worksheet. The 3<sup>rd</sup> column provides the total number of test questions that are in this sample examination for that major area of the BOK. The last column provides the total number of test questions that appear in a formal ASQ examination for that area of the BOK.

<b>BOK Topic Area</b>	<b>Total You Had Correct on Sample Exam</b>	<b>Total in the Sample Exam</b>	<b>Total in Formal ASQ Exam</b>
I. HACCP System		6	<i>22</i>
II. HACCP Principles		6	<i>21</i>
III. Implementation and Maintenance of HACCP System		2	<i>14</i>
IV. Auditing Fundamentals		4	<i>17</i>
V. Audit Process		6	<i>36</i>
VI. Auditor Competencies		3	<i>13</i>
VII. Quality Tools and Techniques		3	<i>12</i>
<b>GRAND TOTAL</b>		<b>30</b>	<b><i>135</i></b>