PECB

ISO-45001-Lead-Auditor

PECB Certified OHSMS ISO 45001 Lead Auditor Exam

For More Information – Visit link below:

https://www.examsempire.com/

Product Version

1. **Up to Date products, reliable and verified.**
2. **Questions and Answers in PDF Format.**



https://examsempire.com/

Latest Version: 8.9

Question: 1

An audit team leader prepares the audit plan for an initial Stage 2 certification audit. Which two of the following statements are false?

A. The organisation should review the audit plan for agreement.
B. The audit team leader does not select the OHS audit team members.
C. The audit team leader should plan to interview each employee.
D. The audit team leader should present the plan to the auditee before the Stage 2 audit.
E. The organisation should cancel at staff leave during the audit.
F. The plan does not need to include the names of the senior managers.

Answer: B, C

Explanation:
Comprehensive Detailed Explanation along with All ISO 45001 Audit Reference
Analysis of Each Option:
A. The organisation should review the audit plan for agreement.

True.

According to ISO 45001 guidelines and ISO 19011 (Guidelines for Auditing Management Systems), it is standard practice for the auditee organization to review and agree to the audit plan to ensure clarity on scope, objectives, and processes.

ISO 19011:2018, Clause 6.3.2.
B. The audit team leader does not select the OHS audit team members.

False.

The audit team leader is responsible for selecting competent team members with the requisite expertise to evaluate the auditee's Occupational Health & Safety Management System (OHSMS). Selection is based on criteria such as knowledge of ISO 45001, auditing skills, and understanding of the industry.

ISO 19011:2018, Clause 5.4.2 and 6.3.1.
C. The audit team leader should plan to interview each employee.

False.

While employee interviews are an essential part of gathering evidence during an ISO 45001 audit, interviewing every employee is impractical and unnecessary. A representative sampling

strategy is used to assess compliance across various levels and departments.

ISO 19011:2018, Clause 6.4.6.
D. The audit team leader should present the plan to the auditee before the Stage 2 audit.

True.

Presenting the audit plan to the auditee before the audit is essential to ensure all parties are informed and prepared for the audit. This practice is emphasized in ISO 19011 and supports transparency and effective audit execution.

ISO 19011:2018, Clause 6.3.3.
E. The organisation should cancel staff leave during the audit.

False.

ISO 45001 and related audit guidelines do not mandate the cancellation of staff leave during audits. While key personnel should be available, the audit team collaborates with the organization to plan around leave schedules to minimize disruption.

Not explicitly covered in ISO 45001 or ISO 19011; falls under planning discretion.
F. The plan does not need to include the names of the senior managers.

True.

While the audit plan should outline the scope, objectives, and methods, it does not specifically require the inclusion of senior managers' names unless they are directly involved in the audit.

ISO 19011:2018, Clause 6.3.2.
Key ISO Reference:
ISO 45001:2018, Clause 9.2 (Internal Audit Requirements).
ISO 19011:2018, Clauses 5.4.2, 6.3.1, 6.3.2, and 6.4.6.

Question: 2

When calculating an ISO 45001 third party initial audit duration, which two of the following statements are false?

A. Consider the number of functions related to OHS management
B. Consider the number of sites to be sampled
C. Include outsourced processes
D. Include the time allocated for lunch breaks
E. Incorporate the time taken to travel to/from the audit location
F. Think about the complexity of the organization's business

Answer: D, E

Explanation:
Comprehensive Detailed Explanation along with All ISO 45001 Audit Reference
Analysis of Each Option:
A. Consider the number of functions related to OHS management.

True.

The number of functions related to OHS management directly impacts the audit duration. More functions require additional time for the auditor to review documentation, processes, and implementation across those areas.

IAF MD 5:2020, Clause 2.3.1 (factors affecting audit time).
B. Consider the number of sites to be sampled.

True.

For multi-site organizations, the number of sites to be sampled is critical in calculating audit duration. Sampling requirements are determined using guidelines such as IAF MD 1:2022 and depend on the complexity, size, and risks associated with each site.

IAF MD 1:2022, Clause 4.2.
C. Include outsourced processes.

True.

Outsourced processes that affect the OHS management system must be evaluated as part of the audit. This includes reviewing the organization's control over such processes. Auditing these aspects impacts the audit duration.

ISO 45001:2018, Clause 8.1.4 and IAF MD 5:2020, Clause 2.3.1.
D. Include the time allocated for lunch breaks.

False.

Lunch breaks are not considered part of the audit duration as they do not contribute to the assessment of the management system. Audit time calculations exclude non-working hours, including breaks.

IAF MD 5:2020, Clause 2.5.
E. Incorporate the time taken to travel to/from the audit location.

False.

Travel time is excluded when calculating the audit duration. While travel logistics are considered in audit planning, they do not count towards the total audit time.

IAF MD 5:2020, Clause 2.5.
F. Think about the complexity of the organization's business.

True.

The complexity of the organization's business, including the nature of hazards, risks, and legal obligations, significantly affects the audit duration. More complex operations typically require longer audit times.

IAF MD 5:2020, Clause 2.3.1.
Key ISO and IAF Reference:
ISO 45001:2018: Clause 9.2.2 (Audit Program).
IAF MD 5:2020: "Determination of Audit Time of Quality and Environmental Management Systems."
IAF MD 1:2022: "Audit and Certification of Multiple Sites Based on Sampling."

Question: 3

Whistlekleen is a national dry cleaning and laundry organization with 50 shops. You are conducting an OHSMS surveillance audit of the head office and are sampling health and safety performance monitoring. You find that 80 per cent of incident originate from five shops in the same region. Most of these relate to staff and customer feeling unwell due to breathing in the pungent atmosphere. Some required to be hospitalized. The OHS Manager tells you that these are the oldest shops in the organization. The cleaning equipment emits Volatile Organic Compounds (VOCs) and needs replacing but the organisation cannot afford it at the moment. You raise the following nonconformity against clause 10.2 of ISO 45001.
''The organization failed to act after incidents in the five old shops involving the release of VOCs from laundry operations, which resulted in injury in some instances. The equipment used was not capable of consistently operating to the required level of safety''
Select one of the options which would constitute the most effective corrective action for the nonconformity.

A. Display on emergency phone number in a prominent place to ensure that injured workers and shoppers
B. Evaluate and update the Personal protective equipment (PPE) requirements for employees working with strong chemicals such as face masks and gloves.
C. Reassess the OH&S risks associated with the laundry process in the five old shops.
D. Review the current safety procedures related to handling and use of chemicals In the laundry process to ensure their effectiveness.

Answer: C

Explanation:
Comprehensive Detailed Explanation along with All ISO 45001 Audit Reference

Clause 10.2 of ISO 45001 pertains to Nonconformity and Corrective Action. Organizations are required to evaluate incidents, investigate their causes, and implement effective corrective actions to prevent recurrence.
Issue Identified:

The incidents in the five old shops are related to VOC emissions from outdated equipment, leading to staff and customer health concerns. This indicates inadequate risk management and failure to act on known safety issues.
Analysis of Options:
A. Display an emergency phone number.

This is a reactive approach and does not address the root cause of the issue, i.e., VOC emissions. It also does not align with ISO 45001's emphasis on preventive measures.
B. Evaluate and update the PPE requirements.

While PPE is important, relying solely on PPE without addressing the root cause (emission of VOCs) is insufficient. PPE is considered the last line of defense under the hierarchy of controls.
C. Reassess the OH&S risks associated with the laundry process in the five old shops.

This option aligns with ISO 45001, Clause 8.1.2, and Clause 10.2, as it emphasizes reassessing risks and taking steps to mitigate them. A thorough risk assessment could lead to interim measures such as process improvements or administrative controls until the equipment is replaced.
D. Review the current safety procedures.

While reviewing safety procedures is useful, it does not address the specific nonconformity related to the equipment's inability to operate safely.
Best Action:

Reassessing the risks in the five shops (Option C) ensures a comprehensive review of the hazards posed by outdated equipment, leading to appropriate preventive and corrective actions.
ISO Reference:
Clause 10.2: Requires identifying and addressing nonconformities to prevent recurrence.
Clause 8.1.2: Emphasizes the hierarchy of controls and risk assessment as a foundation for mitigating hazards.

Question: 4

You are auditing a site of Good Food Shack, a restaurant chain. In the kitchen area, you notice a half-filled open drum sitting in a pool of liquid, which is dribbling across a work area. You ask the head Chef what is in the drum and are told it is waste the frying process. When you ask why it is kept there, You are told that it is not normally kept there, but it not a problem and says that he will arrange it to be moved to a storeroom and will give the floor a good clean.

Look around the kitchen, you observe knives and cleavers lying around on worktops, staff wearing no protective gloves and a large pot of boiling water with nobody near it. There is no evidence of any fire extinguishers of fine blankets within sight.
You decide to raise a nonconformance. Select one of the options that best describes the finding against clause 8.1.2 of ISO 45001.

A. Failure to reduce risks associated with working in the kitchen.
B. Measures to prevent slippage in the kitchen from waste cooking oil were not taken.
C. Staff are at risk of serious injury while working in the kitchen.
D. Training of the kitchen staff was not effective enough to prevent poor safety awareness in the kitchen area.

Answer: A

Explanation:
Comprehensive Detailed Explanation along with All ISO 45001 Audit Reference
Clause 8.1.2 of ISO 45001 pertains to Eliminating Hazards and Reducing OH&S Risks.
Organizations must implement appropriate controls to manage workplace hazards effectively.
Issue Identified:

The kitchen environment at the audited site presents multiple hazards, including:
Oil spillage creating a slip hazard.
Open drums of waste material posing a chemical or hygiene hazard.
Unsecured knives and cleavers increasing the risk of cuts.
Boiling water left unattended, posing a risk of burns.
Lack of visible fire extinguishers or fire blankets, increasing fire risk.
Analysis of Options:
A. Failure to reduce risks associated with working in the kitchen.

This option accurately captures the broader failure to implement effective measures to eliminate or reduce hazards across multiple areas in the kitchen.
B. Measures to prevent slippage in the kitchen from waste cooking oil were not taken.

This is specific to one hazard (oil spillage) and does not address other significant risks observed, such as fire safety or sharp tools.
C. Staff are at risk of serious injury while working in the kitchen.

While true, this is more of a general observation and does not address the root cause of the hazards or the failure of controls.
D. Training of the kitchen staff was not effective enough to prevent poor safety awareness in the kitchen area.

Although training deficiencies may contribute to the issue, this option does not reflect the overarching systemic failure to manage hazards effectively.
Best Description of the Nonconformance:

Failure to reduce risks associated with working in the kitchen (Option A) is the most

comprehensive finding, reflecting the organization's lack of adequate controls to mitigate hazards.
ISO Reference:
Clause 8.1.2: Organizations must establish controls to eliminate or minimize OH&S risks systematically.
Clause 7.2: Ensuring competency through training is important but must be coupled with hazard control measures.

Question: 5

During a second-party audit at a sawmill, you find that the OHSMS Manager conducted the hazard identification process. In the risk assessment report, hazards were listed as physical hazards, chemical hazards, biological hazards and psychosocial hazards, with the hazards categories as low medium and high to be addressed. The OHSMS Manager did not have an action plan for low and medium risks, saying that they ignored those He stated that they brought in a health and safety consultant to advise on treatment for the high risks.
When interviewing the OHSMS Manager, the auditor presents a nonconformity relating to potential hazards In the factory If the dust extraction system broke down. The OHSMS Manager said that. If that happened, the agreed planned action is that workers would put masks on.
Select one of the options for how the auditor should respond to this statement.

A. Advise that the factory should cease its operations It the dust extraction equipment malfunctioned.
B. Ask the OH5MS Manager to confirm that this action meets regulatory requirements for air purity.
C. Seek evidence that the response action is both Implemented and effective.
D. Suggest that they should increase their maintenance checks.

Answer: C

Explanation:
The auditor should assess whether the organization's planned action (using masks in case of dust extraction failure) is both implemented and effective. This aligns with ISO 45001 requirements to ensure that control measures are functional and meet the intended objectives.
Clause 8.1.2 (Hierarchy of Controls):

The use of PPE, such as masks, is considered a last resort in the hierarchy of controls. The organization must demonstrate that the measure is:
Implemented (e.g., PPE is available and workers are trained to use it).
Effective (e.g., masks provide adequate protection against dust).
Analysis of Options:
A. Advise that the factory should cease operations if the dust extraction equipment malfunctioned.

While ceasing operations may be a necessary control in extreme situations, it is not a practical or realistic recommendation unless a high-risk scenario cannot be otherwise managed.
B. Ask the OHSMS Manager to confirm regulatory compliance.

Regulatory compliance is important but does not fully address the requirement to ensure the action is effective.
C. Seek evidence that the response action is both implemented and effective.

This is the most appropriate response. The auditor must verify implementation and effectiveness to determine conformity.
D. Suggest increasing maintenance checks.

Maintenance is important for preventing equipment breakdowns, but this option does not address the immediate audit finding about the adequacy of response actions.
ISO Reference:
Clause 8.1.2: Emphasizes applying the hierarchy of controls effectively.
Clause 9.1.1: Requires monitoring and measuring controls to ensure effectiveness.

Thank You for Trying Our Product

Special 16 USD Discount Coupon: NSZUBG3X

Email: support@examsempire.com

Check our Customer Testimonials and ratings available on every product page.

Visit our website.

https://examsempire.com/