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Credential	Exam	Professional experience	MS audit/assessment experience	Other requirements
PECB Certified ISO 45001 Provisional Auditor	PECB Certified ISO 45001 Lead Auditor Exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO 45001 Auditor	PECB Certified ISO 45001 Lead Auditor Exam or equivalent	Two years: One year of work experience in OH&S management	Audit activities: a total of 200 hours	Signing the PECB Code of Ethics
PECB Certified ISO 45001 Lead Auditor	PECB Certified ISO 45001 Lead Auditor Exam or equivalent	Five years: Two years of work experience in OH&S management	Audit activities: a total of 300 hours	Signing the PECB Code of Ethics
PECB Certified ISO 45001 Senior Lead Auditor	PECB Certified ISO 45001 Lead Auditor Exam or equivalent	Ten years: Seven years of work experience in OH&S management	Audit activities: a total of 1,000 hours	Signing the PECB Code of Ethics

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PECB ISO-45001-Lead-Auditor Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> Managing an ISO 45001 audit program: This section of the exam measures the skills of Audit Managers and covers the management of an ongoing ISO 45001 audit program. It focuses on scheduling audits, maintaining auditor competency, and ensuring continuous improvement within the auditing process. One skill to be measured is implementing strategies for effective audit program management.
Topic 2	<ul style="list-style-type: none"> Fundamental principles and concepts of an occupational health and safety management system: This section of the exam measures the skills of Health and Safety Managers and covers the essential principles and concepts underlying an occupational health and safety management system (OHSMS). It focuses on understanding the framework for managing health and safety risks to prevent workplace injuries and illnesses. One skill to be measured is identifying key components of an effective OHSMS.
Topic 3	<ul style="list-style-type: none"> ISO 45001 requirements for an OH&S MS – Clauses 4 to 10: This section of the exam measures the skills of Auditors related to specific requirements outlined in ISO 45001 about occupational health and safety management systems. It emphasizes understanding clauses that address context, leadership, planning, support, operation, performance evaluation, and improvement. A skill to be measured is applying ISO 45001 requirements to organizational practices.
Topic 4	<ul style="list-style-type: none"> Conducting an ISO 45001 audit: This section of the exam measures the skills of Lead Auditors and covers the execution of an ISO 45001 audit. It focuses on gathering evidence, interviewing personnel, and assessing compliance with OHSMS requirements during the audit process.

Topic 5	<ul style="list-style-type: none"> • Fundamental audit concepts and principles: This section of the exam measures the skills of Internal Auditors and covers the basic concepts and principles related to auditing an OHSMS. It focuses on understanding audit types, methodologies, and the role of audits in compliance and improvement. One skill to be measured is conducting effective audits to assess OHSMS performance.
Topic 6	<ul style="list-style-type: none"> • Closing an ISO 45001 audit: This section of the exam measures the skills of Audit Consultants and covers the procedures for concluding an ISO 45001 audit. It emphasizes reporting results, discussing findings with stakeholders, and ensuring follow-up actions are planned.

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PECB Certified ISO 45001 Lead Auditor Exam Sample Questions (Q59-Q64):

NEW QUESTION # 59

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

Answer: D,E

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.

Reference: 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.

Reference: 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.

Reference: 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.

Reference: 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.

Reference: 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.

Reference: 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.

NEW QUESTION # 60

ISO 45001 requires the organisation to retain OHSMS documented information. From the following list of documented information, which four examples must be retained by the organisation?

- A. Results of compliance evaluation
- B. Workers' current level of competency
- C. Risks and opportunities
- D. Effectiveness of corrective actions
- E. Assigned responsibilities and authorities
- F. Results of management review
- G. The relevant requirements of workers
- H. OH&S Policy

Answer: A,D,F,H

Explanation:

Analysis of Options:

* A. Results of management review:Correct. Clause 9.3 requires retention of management review results as documented information.

* B. Risks and opportunities:Incorrect. Risks and opportunities must be considered and managed, but retaining this as documented information is not mandatory.

* C. Results of compliance evaluation:Correct. Clause 9.1.2 requires retention of compliance evaluation results.

* D. Workers' current level of competency:Incorrect. Competency must be ensured, but retaining specific competency records is not explicitly required.

* E. Assigned responsibilities and authorities:Incorrect. These must be defined and communicated but are not required to be retained as documented information.

* F. The relevant requirements of workers:Incorrect. Relevant worker requirements must be considered but not retained as documented information.

* G. Effectiveness of corrective actions:Correct. Clause 10.2 requires retention of evidence of corrective actions taken.

* H. OH&S Policy:Correct. Clause 5.2 requires the OH&S policy to be maintained as documented information.

ISO References:

* Clause 5.2: OH&S policy.

* Clause 9.1.2: Compliance evaluation.

* Clause 9.3: Management review.

* Clause 10.2: Corrective actions.

NEW QUESTION # 61

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 categorized as low, medium, and high risk 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. Suggest that they should increase their maintenance checks.
- **B. Seek evidence that the response action is both implemented and effective.**
- C. Ask the OHSMS Manager to confirm that this action meets regulatory requirements for air purity.
- D. Advise that the factory should cease its operations if the dust extraction equipment malfunctioned.

Answer: B

NEW QUESTION # 62

An internal auditor of a manufacturer of plastic packaging products for the food industry raised a nonconformity against section 10.2 of ISO 45001 in Report JA202. The nonconformity (NC3) stated: "The level of reported health and safety incidents has increased by 9.7% over the last 12 months." As the third-party auditor who comes across this nonconformity during a surveillance audit, how would you react? Select one.

- **A. You would find out what corrective action was taken and whether it was effective.**
- B. You would ask the OHS Manager why the incident rate was rising by so much in one year.
- C. You would raise a nonconformity since the incident rate had not reduced at the time of the internal audit.
- D. You would investigate whether the incident rate featured in the previous internal audit report.

Answer: A

NEW QUESTION # 63

Which two of the following options do not participate in a first-party audit?

- **A. An auditor from an accreditation body**
- **B. A certification body auditor**
- C. An auditor certified by CQI and IRCA
- D. An auditor trained by the organisation
- E. An auditor from a consultant organisation
- F. An auditor trained in the CQI and IRCA scheme

Answer: A,B

Explanation:

A first-party audit is an internal audit . ISO defines internal audits, or first-party audits, as audits conducted by, or on behalf of, the organization itself . That means the people participating can be the organization's own auditors or external people acting on its behalf, such as a consultant. (ISO) Therefore:

* A. An auditor certified by CQI and IRCA can participate in a first-party audit, provided the auditor is acting for the organization or on its behalf. Certification status does not prevent participation in an internal audit. This is consistent with the principle that first-party audits are defined by who the audit is for , not by the auditor's credential. (ISO)

* D. An auditor from a consultant organisation can also participate, because first-party audits may be carried out on behalf of the organization by a qualified external consultant. (ISO)

* E. An auditor trained in the CQI and IRCA scheme can participate for the same reason: training route does not change the audit type; the audit remains first-party if it is conducted by or for the organization. (ISO)

* F. An auditor trained by the organisation clearly can participate, since internal audits are commonly performed by trained internal auditors from within the organization. (ASQ) The two that do not participate in a first-party audit are:

* B. A certification body auditor

* C. An auditor from an accreditation body

A certification body auditor performs a third-party audit , not a first-party audit. An accreditation body auditor/assessor evaluates certification bodies or similar conformity assessment bodies, not the organization' s own internal audit program. These are external oversight roles, not first-party audit roles. (ISO) So the correct answer is:

B, C

NEW QUESTION # 64

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For the candidates of the exam, you pay much attention to the pass rate. If you can't pass the exam, all efforts you have done will be

