



## **PEEB 45001 Lead Auditor Candidate Handbook (V 1.0)**

This Candidate Handbook provides comprehensive information, understanding policies & procedures related to certification eligibility, test development and administration, professional conduct, and disciplinary measures, maintain certification, and security procedure established by PEEB.

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## **1 INTRODUCTION**

### **1.1 About PEEB**

#### **1.1.1 Who We Are?**

The Professional Excellence Evaluation Board (PEEB) is the premier global accredited personnel certification body as per ISO 17024:2012 from International Accreditation Services (IAS). PEEB accreditation demonstrates that all certifications meet the global standards. PEEB provides certification schemes in diverse professions and industries, not limited to Quality, Health & Safety, Food, Environment, Energy, Six Sigma, Fire, Calibration, Lifting and Rigging etc. PEEB's rigorous, effective, and reliable e-certification process elevates the expectations of professionals in their fields and allows them to demonstrate their commitment and ability to work at the highest level.

PEEB uses Subject Matter Expert (SME) throughout the development and evaluation processes. Our extensive knowledge in developing task analysis, assessments, and certifications distinguishes us in the competitive environment.

We are highly committed and accepted to be an autonomous certification board by employers, and learners in the market. We are dedicated to being the most dynamic and fresh thinking organisation in the market. We believe that the right professional with the right competencies delivers the right outcomes.

PEEB recognises the importance of impartiality in carrying out its certification activities, so all the staff and/or stake holders manage conflicts of interest and ensure the objectivity of all certification activities. PEEB will not discriminate based on race, creed, ethnic origin, religion, age, disability, political affiliation, gender, sexual orientation, or marital, parental, military, or any other legally protected status.

#### **1.1.2 Our Objective**

1. Our objective is to keep things simple for individuals, and advance their knowledge, skills, and careers, for the meet-up of individuals, organizational requirements, and customer services.
2. To encourage the professionalism, equality, diversity and urge the ethical practice.
3. To sustain the integrity of assessments and certification by providing quality assurance.
4. Provide comprehensive services that demonstrate the benefits for individuals and inspire them as a whole society.

#### **1.1.3 Our Motto is “Passion for Excellence”**

##### **Vision**

To build a global platform for professionals to pursue excellence through personnel certifications.

##### **Mission**

To inspire and develop leaders in their professions through globally recognized personnel certifications and support the society.

##### **Values**

**Dedication to Superiority:** We make sure the highest level of excellence in all outputs with the aim to become “Global Leaders” Our slogan is “**Passion for Excellence**”.

**Veracity:** We ensure that all exchanges with clients and along with staff are based on honesty and mutual self-esteem with the aim of support ‘integrity over the board’.

**Sustainability:** Our believe is in the long-term sustainability of both the organisation and clients thereby “boosting self-sufficiency all through continuous enrichments in our services”

**Accountability:** We deliver our promises to ourselves and our customers.

**Modernization / Innovation:** Our believe in learning, modifying, and expanding thereby “reacting positively to change”.

**Professionalism and Excellence:** Dedication to be the best and to provide the best for our members.

**Transparency:** Effective and clear communication about all our business.

#### **1.1.4 PEEB Code of Conduct**

This code of conduct sets professional standards and ethical values, which are set and must be complied by applicants, candidates and credential holders and abide by PEEB obligations, standards, and its governing policies always.

##### **Integrity:**

The certified professionals shall pursue and maintain integrity, dignity, and distinction of the profession as well as of the PEEB by complying with these standards of work ethics.

##### **Scope:**

PEEB evaluated/certified professionals shall hold and be accountable for fundamental standards during the conduct of their duties and professionally advise employers, clients, employees, the public and appropriate authorities, of any danger and intolerable risks.

##### **Professionalism:**

PEEB evaluated and certified professional candidates shall only conduct practice in his/her educational field of expertise and knowledge. As well as following up their professional development by maintaining their proficiency through further knowledge, work experience, professional skills, and keeping up to date with current affairs of the profession.

PEEB certified professional shall pursue opportunities in services of civic, business affairs, working for improvement of the quality check, health and safety, system security, management proficiencies, and other well-being of the community, by sharing their acquired knowledge and professional skills and experiences.

##### **Fairness:**

PEEB certified professional shall always act as a non-bias professional of their field and with the

manner regardless to individual's religion, ethnicity, gender, age, national origin, sexual orientation, or disability.

**Support:**

PEEB certified professional will always support fellow professionals and PEEB as the main operating power behind the development in the professional environment. In addition, certified professional by PEEB - will not conspire, embarrass, or discredit the PEEB or the other colleagues.

**1.1.5 Statement of Confidentiality**

PEEB certified professional must be unbiased and fair-minded conduct his/her professional affairs with responsibility and integrity. Continuously maintain exacting standards of ethics, balanced care for the concerns of the public, employers, clients, employees, colleagues, and the profession itself.

PEEB certified professional must avoid conducting or practice, which might lead to discrediting the professions, PEEB board or misleading the public in any manner.

**1.1.6 Statement of Impartiality**

Professional Excellence Evaluation Board - PEEB provides an objective and balanced professional certification awarding services. We stick to transparent procedures based on certification schemes, which comprises built-in checks to ensure the objectivity of certification activities.

# 2 PEEB 45001 LEAD AUDITOR CERTIFICATION SCHEME

## 2.1 PEEB 45001 Lead Auditor Program Overview

The PEEB 45001 Lead Auditor credential is professional certification for individuals, professionals, learners aiming to demonstrate the competencies for auditing the occupational health and safety management system and leadership of the audit team.

The PEEB 45001 Lead Auditor is also a recognized occupational health and safety check standard and certification in the Management system (MS). Management System (MS) is a powerful business improvement tool, which help business to continually improve, streamline operations, reduce costs, build a sustainable business, and satisfy more customers.

This ISO 45001 Standard framework is developed by ISO enhance the orientation while integration with other management system standard within the organisation. OH&S MS is a powerful business improvement tool, which help business to continually improve, streamline operations, reduce costs, build a sustainable business, and satisfy employees, and as well as customers.

## 2.2 PEEB 45001 Lead Auditor

PEEB's main purpose is to deliver excellency and systematically management system, services, and occupational health & safety skills and knowledge of field through PEEB 45001 Lead Auditor certification. The PEEB 45001 Lead Auditor certification program certifies individuals who have met the program pre-requisites and who demonstrate that they have acquired a minimum level of knowledge and expertise in this field by passing the examination/assessment.

The PEEB 45001 Lead Auditor credential designation represents a personal benchmark that validates knowledge, skill, expertise, and practice. Obtaining the PEEB 45001 Lead Auditor certification will set you apart from others within the OH&S MS industry and emphasize that you are professionally committed to help potential customers, organisations and develop occupational health & safety management system experience at workplace.

PEEB 45001 Lead Auditor accreditation certifications provide a unique excellency style of evaluation that help learners / candidates to master the art of OH&S MS to improve continuously and successfully meet customer, business, organisational, and regulatory requirements.

## 2.3 Objectives of Certification

The objectives of the certification program for OH&S MS professionals are to:

1. Develop professional standards and distinctive competencies for delivering excellence practice for the industry of OH&S.
2. Certify and provide recognition to individuals, auditors and quality managers who demonstrate and acquired body of knowledge and expertise.
3. Provide leading safety management certification program that is assessed/evaluated by expert lead auditors with a wide experience of health and safety management systems who will give you the skills required to perform internal, supplier and certification body audit.

4. Foster continuing competence and maintain the professional standard in OH&S through a mandatory continuing professional development (CPD) program.
5. Determining the certifications to meet ethical standard and stick to the PEEB Code of Conduct.
6. Advocating benefits of certification for organisation, practitioners, employers, public officials, and awarding certificates to qualified, skilled individuals, organisations, and related fields.

## 2.4 PEEB 45001 Lead Auditor Certification Scope

OH&S MS Certifications scope provides valued knowledge and recognitions that the candidate has experience within a specific industry.

When you see PEEB 45001 Lead Auditor after a name, you know that they have been through a rigorous process that confirms their recognised schooling, professional practice, and professional development and that they have successfully passed a competency-based certification assessment/evaluation. They have also signed and agreed to abide by the PEEB Code of Ethics and maintain ongoing continual professional development (CPD).

## 2.5 Eligibility Criteria

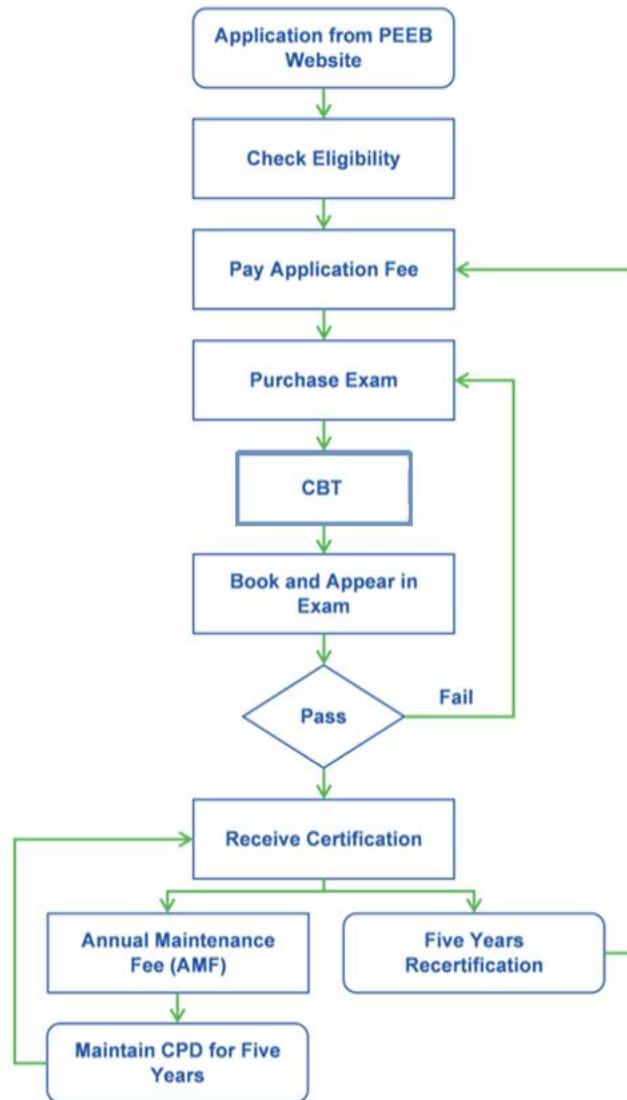
Applicants for PEEB 45001 Lead Auditor certification must meet one of the following three options:

Exam	Education	Professional Experience	Audit/Assessment Experience (Optional)
PEEB 45001 Lead Auditor	Master's Degree in any subject or (International equivalent)	One-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 100 hours
	Bachelor's Degree or (International equivalent)	Three-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours
	Diploma / GCSE, no higher education degree is required	Five-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours

### 3 APPLICATION AND EXAMINATION PROCEDURE

#### 3.1 Certification & Application Process

PEEB offers a very clear and easy procedure for the PEEB certification. Candidate Can go towards the PEEB Certification by following these application and examination steps.



#### 3.2 Certification Steps

##### Step 1 – Pick A certification

The first stage is to select a certification from the PEEB website according to the eligibility.

##### Step 2 – Check Eligibility

The second step is to check the certification criteria through the PEEB official website. Applicants for PEEB certification must meet one of the following three options given in Chapter 2.

##### Step 3 – Pay and Submit Application

Fill up the signup form, pay the application fee and then submit the remaining application at the PEEB online portal. Applications are reviewed by PEEB management and evaluate the material presented

by an applicant i.e., Applicants for PEEB certification must meet one of the following three options given in chapter 2. Applicants will receive a notification about their application status within 3 business days of receiving your application.

#### **Step 4 – Purchase Exams**

Once the application is approved, the applicant will purchase the exam set and the Applicants must have to sit an examination within one year of validity.

#### **Step 5 – Select Exam**

PEEB Exams is a computer-based test CBT.

#### **Step 6 – Book and Appear in Exam**

Once the exam is purchased, the Candidate can take the exam anytime by visiting the Exam link provided through email.

#### **Step 7 – Pass the Examination**

Once the Candidate passes the PEEB certification exam he qualifies for the certification. PEEB will award certification who pass the certification exams.

#### **Step 8 – Pay Annual Renewal Fee**

There is an annual renewal fee who earn the PEEB credential. Candidate must have to maintain and submit the CPD points yearly.

### **3.3 Recertification**

PEEB certified must maintain CPD by compiling 25 Re-certification points every year. Another way to earn all the required points is to retake and pass the examination for Re-certification.

### **3.4 Application Fees for Examination and Certification**

PEEB offers direct exams, where a candidate can sit for the exam without attending the training course. The applicable prices are as follows:

- Application Fee: £75
- Certification Exam Fee: £225
- Re-sit Examination Fee: £99
- Annual Maintenance Fee (AMF): £99

The application fee for certification is £75 and will be valid for one year, applicants can schedule certification exams within one year. PEEB waved off the first year of the Annual Maintenance Fee (AMF) from all certification holders.

**Note:** If your application is not approved or you're not eligible we will contact you. The application's £75 processing fee is not refundable.

### **3.5 Examination Approval Process**

Once the application is approved by PEEB the candidate will receive a confirmation email of approval from PEEB.

A candidate must sit for the examination within one year of receiving approval. If the candidate fails to take an exam within this one-year period, they must undergo the entire application approval process again, including the application fee, unless there are exceptional circumstances.

### **3.6 Appointment Scheduling**

PEEB is responsible for the Online examination.

#### **3.6.1 Online**

Once the exam is purchased, the Candidate can take the exam anytime within the time period by visiting the My PEEB portal., Once the exam is booked and started, they must complete it in one sitting.

### **3.7 Identification Requirements**

The examination candidate is required to present an original (no photocopies) & valid ID i.e., passport/national identity card etc.

If you are not a citizen of the country in which you are sitting for the exam, the only acceptable identification document is your valid, unexpired passport.

Failure to present the proper identification will result in the forfeiture of your examination.

## **4 MANDATORY RULES & REGULATIONS**

### **4.1 Rules for Scheduling/Appointment for Examination**

To change an existing examination appointment, you must follow strict rules. If you fail to follow these rules, you forfeit your Exam Authorization.

You may change your appointment only if there are 5 or more full business days before your existing appointment date. Appointments being rescheduled are subject to availability at PEEB. Appointment rescheduling reason will be checked, only medical reason will be acceptable if there is a satisfying prove from doctor or medical report.

You cannot reschedule your appointment to a date on or beyond your Authorization Expiration date. If the candidate needs an examination extension, may apply for a one-year with additional fees.

### **4.2 Missed Examinations**

If you fail to keep your scheduled examination appointment or if you arrive more than 30 minutes beyond the starting time of your scheduled appointment or if you fail to present acceptable identification when you arrive for your scheduled appointment, you may be refused admission, and you may forfeit your examination writing. To sit for the examination after having been refused admission, you must register and pay for certification exam fee.

### **4.3 Inclement Weather or Emergency**

In the event of inclement weather or unforeseen emergencies on the day of the examination, PEEB will determine whether circumstances warrant the cancellation of the certification exam. The examination will usually not be cancelled.

### **4.4 Personal Belongings**

All candidates will be required to leave their personal belongings outside the testing area. While the testing Centre will make available to you a secure area to store your belongings, the PEEB assumes no responsibility for lost, stolen, broken, or misplaced personal property and candidates should plan appropriately.

Before entering the testing area, an unobtrusive visual inspection of personal items will be conducted by the examination proctors.

As you sign in, the testing Centre staff provides you with materials for working out calculations by hand.

Prohibited items include:

- Mechanical or electronic devices including but not limited to computers, cellular phones, smart phones, personal digital assistants, pagers, calculators, wireless email and reading devices, electronic paging devices, recording or filming devices, cameras, tape recorders, headphones, headsets, mp3 players and radios.
- All forms of outerwear, including but not limited to hats, scarves, gloves, jackets, coats.

- All forms of luggage, including but not limited to book bags, backpacks, handbags, purses, suitcases, and briefcases
- Writing and marking supplies, including but not limited to pens, pencils, erasers, post-it notes, note paper
- Props such as copyholders or clipboards
- Food and beverage
- Weapons of any kind, including but not limited to sharp objects, firearms, explosive devices, razor blades, box cutters and knives
- Hats or headwear of any kind unless provision has been made for specific religious apparel.

Objects worn, or brought into the testing area, because of the candidates sincerely held a personal religious belief, practice or observance will be permitted, subject to prior notification and authorization by the PEEB.

You may access stored medicine or food or drinks outside the secure testing room. You may not access other personal belongings until you complete your examination.

#### 4.5 Test Misconduct

Candidates observed doing any of the following, or engaging in similar, dishonest practices during the exam will be considered to have engaged in test misconduct and both their application and exam administration may be dismissed. Candidates engaged in test misconduct may be disqualified from sitting any future PEEB exams.

Such test misconduct includes, but is not limited to, the following:

- Disclosing certification questions and/or certification subject matter.
- Aiding or abetting anyone in a cheating offence.
- Speaking or communicating with other candidates about specific certification content or questions before, during, or after the examination administration.
- Improperly obtaining through theft, bribery, collusion, or otherwise any test form prior to the date and time of the test's administration.
- Falsifying your identity or impersonating another candidate.
- Using any books, memoranda, calculators, audio or visual players or electronic devices including electronic watches, organizers, Smartphones, iPads, pagers or other cell phones, or other memory aid devices or communication devices other than those authorized by the PEEB.
- Looking at another candidate's responses.
- Copying another candidate's responses.
- Removing or attempting to remove PEEB material electronically or otherwise from a test location.

**Prior to the Certification Examination launching, candidates must agree to a non-disclosure agreement. It states:**

I understand that the certification has expended a considerable amount of time, effort, and expense in the development of the certification exam that I am about to challenge. I further understand that the validity and integrity of the certification exam depends on the questions remaining undisclosed

to other potential certification candidates. I hereby agree that I will not disclose any information concerning the content of this PEEB exam.

If you do not agree to the non-disclosure agreement, the examination will not launch, and your examination appointment will end.

Where proctors have issued an incident report on a candidate engaging in test misconduct, the candidate affected may have their score voided.

Failure to abide by these rules and regulations may be determined as test misconduct. The PEEB will investigate any report of test misconduct or suspected test misconduct. Affected candidates will be contacted to provide their response to the report. The investigation will include an assessment of the appropriate penalty. After the investigation, the Committee will review the information, make a finding, and decide on a penalty.

#### **4.6 Taking your Examination**

PEEB provide the demo for the whole examination process. Candidate should watch the procedure videos before starting the exam. When the examination is first launched, you must agree to comply with PEEB's examination security and nondisclosure rules.

If you experience any technical difficulties with the examination software or hardware during the testing event, please notify your proctor immediately so they may try to resolve the issue.

If you need to use the washroom, or when you leave your workstation for any reason, you must sign out and sign back in -- the on-site proctor will log your activity. Your examination clock continues to run during this time. You are not allowed to leave the building (or part of the building) for any reason while your examination clock is running.

The PEEB will endeavour to ensure that the environment for writing the examination is acceptable. Please be aware that on occasion, candidates may be exposed to minor distractions and the temperature in the testing area may vary. Candidates who are easily distracted by noise may request earplugs or noise-cancelling headphones from the proctor.

PEEB examinations are open book, except for materials by staff or on-screen test aids as part of the examination. Once your examination clock starts, access to any materials beyond those given to you by any organisation PEEB invalidates examinations and pursues disciplinary charges if you access prohibited materials, have contact with anyone except testing staff, leave the building while your examination clock is running, or engage in unethical, disruptive, or unprofessional conduct at a testing centre.

The certification exam is a proctored examination. Any incidences of test misconduct may result in the examination results being withheld or a determination of ineligibility. If it is determined at any time that you have accidentally or deliberately disclosed information relating to the Certification exam, it may result in your results being withheld, a determination of ineligibility for the designation,

or if the designation has already been awarded, you may be subject to investigation by Committee which may result in suspension or termination of your certification.

#### **4.7 Security**

PEEB, maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

## 5 STUDY MATERIAL & GUIDELINES

### 5.1 Preparation for Certification Examination

The following references have been identified by the PEEB as suggested reading by candidates preparing to write the certification examination.

**Note:** Any attempt to copy, collude, or otherwise cheat during the exam session will lead to automatic failure.

### 5.2 Tips and Scheduling Study Time

Develop a methodical approach to studying each domain. This can be accomplished by organizing your study time. Candidates report they spend between 60 and 200 hours on average preparing for the exam.

### 5.3 Review Sample Examination Questions

Some sample questions will be provided once the application is accepted which will give you an indication of the style of questions that will be asked, the type of thinking required and the degree of difference between incorrect and correct answers.

### 5.4 Control Examination Anxiety

Part of controlling anxiety involves being prepared for what to expect. Here are some tips:

#### **Prior to the examination:**

- Know your material. Spend adequate time studying for the certification exam.
- Ensure you get enough sleep, good nutrition, exercise, personal downtime, etc. Think positively.

#### **On the day of the examination**

- Allow yourself plenty of extra time to arrive testing centre so you have adequate time to park, register, etc.
- Dress comfortably – you will be seated for 2 hours.

#### **During the examination**

- Relax. Practice relaxation techniques such as deep breathing.
- Do not focus on any anxiety you may be experiencing.
- Do not expect to know all the answers. It is unlikely that a candidate will answer all questions correctly. Use your reasoning ability to analyse the question and identify the best possible answer.

## 6 EXAMINATION STRATEGY AND SCHEDULING

### 6.1 Certification Examination Overview

PEEB offers Computer-Based Tests (CBT) only. PEEB offers a minimum of one exam on the 15th of every month or as per requirement only in English language.

- Computer-Based Test - CBT

#### 6.1.1 Computer-Based Test – CBT

Computer-based exams are provided electronically via the PEEB Exams applications. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PEEB Invigilator via the PEEB Exams application, and an external/integrated camera in the online test. Access will be granted on test day after submitting your exam fee.

### 6.2 Examination Strategy

The examination consists of 50 questions by CBT or PBT and 2 hours to complete. Each question consists of 2 marks and 100 marks for whole examination. It is required to get 50% marks (50 out of 100) to pass a certification examination.

The questions are presented in any of the following formats:

- Case-based (a set of questions associated with a brief scenario)
- Independent questions (stand-alone examination questions that contain the information necessary for responding).
- Matching Columns
- Fill in the Blanks
- True and False
- MCQ's

Candidates should thoroughly review the Blueprint for selected certification exam.

The Examination Committee is responsible for determining the PEEB certification content and the examination specifications, maintaining examination questions and setting the passing score.

### 6.3 Developing an Examination Strategy

Candidates who want to sit in PEEB 45001 Lead Auditor Examination must have thorough knowledge of all the seven domains. It takes time to adequately prepare for an examination. There are no shortcuts. While study tips and examination writing tips can help you prepare, there is no replacement for taking the time to build a solid base of knowledge.

Sr. No.	Domain Category
Domain 1	Standards and Theories of Occupational Health & Safety Management System
Domain 2	Requirements of Occupational Health & Safety

Domain 3	Fundamentals and Principles of ISO 45001 Audit
Domain 4	Preparing an ISO 45001 Audit
Domain 5	Conducting an ISO 45001 Audit (Stages/Process)
Domain 6	Conducting the Closing an ISO 45001 Audit
Domain 7	Managing/Supervising an ISO 45001 Audit

## 6.4 PEEB 45001 LEAD AUDITOR Domains

This exam covers the following competency domains.

### 6.4.1 Domain 1. Standards and Theories of Occupational Health & Safety Management System

#### Knowledge of:

1. Extensive knowledge of the OH&S Management system's definitions, terms, and conditions, as mentioned in ISO 45001.
2. Knowledge of terms, conditions, scope definition, legal requirements of other safety-related standard within the organization.
3. Knowledge and understanding of the scope, principles, and requirements of the ISO 45001 standard in different organizations.
4. Significance complying to legal conditions and other requirements and type of constraints which may be applicable to an organization.
5. Advantages of implementing an OH&S MS based on ISO 45001 Lead Auditor.
6. Association between organizations, human rights, and labor practices.
7. Human rights, principles and labor, employees at workplace as stated in ISO 26000.
8. Methodologies, theories used to classify the common causes of occupational accidents/collisions.
9. Knowledge of hazard and troubles at workplace and how to mitigate with them effectively.
10. Experienced and understanding of the risk-based approaches definition and its application in ISO 45001.

#### Skills:

1. To Interpret requirements of the management system standard/ OH&S Management System.
2. Describe standard requirements, policies for the interest of involved parties.
3. Utilize standard ISO 45001 Lead Auditor applications in right way and implement the rules and regulations as stated in standard.
4. To distinguish between ISO 45001 and other occupational health and safety- related standard.
5. Ability to explain the human rights, principles, and labour practice.
6. Ability to verify the connection level of the organization labour and top management.
7. Demonstrate what OH&S MS system is and core terms of related to OH&S MS.
8. List common causes of accidents at workplace for labour and individuals.
9. Ability to explain the risk by using risk-based approach and the way to implementation.

10. Ability to analyse the plan safety and quality relating to the provision of specific outputs of management system within the organisation.

#### **6.4.2 Domain 2. Requirements of Occupational Health & Safety**

##### **Knowledge of:**

1. Pre-requisites of ISO 45001 for creating, establishing, implementing, maintaining, and explain the purpose of an occupational health and safety management system.
2. Occupational health and safety management system standard purpose and management system objective.
3. Comprise the key elements of the OH&S MS and integrated management system.
4. Constraints for leadership and responsibility as well as consultation and participation of workers.
5. Demonstrate the structure and requirements of ISO 45001 Lead Auditor OH&S management system.
6. Understanding of the prerequisites about identification of risks an opportunity and setting of OH&S objectives.
7. Expertise in utilizing the methodologies, practices, and programs used for the monitoring, measurement, analysis, evaluation, internal audits, and management reviews.
8. Internal and external public concerns that influence the framework of an organization, interested parties, and requirements for the scope of the OH&S MS.
9. Knowledge of the essential resources, competences, awareness, communication, and documented information for an effective OH&SMS.
10. Constraints for nonconformity and disciplinary actions, continual advancement, and update of the OH&S MS.

##### **Skills:**

1. Ability to identify the key elements of ISO management system that can be used within the organization.
2. Comprises the management system and deep understating of ISO 45001 requirements and the structure of the standard.
3. Identification of key obligations with the regard to the top leadership, management and commitment and their role responsibilities in OH&S MS and value of the worker.
4. Describe the standard's constraints about the context of the organization.
5. Ability to absorb the requirements, risk and opportunities of management system and evaluate the objectives, planning to achieve them.
6. Understand Core elements of a management system and the interrelationship between top management.
7. Top leadership responsibility, policy, objectives, planning implementation, measurement, and review.
8. Ensure the sufficient resources are available for the implementation, operations, maintenance, and improvement.
9. Risk evaluation and requirements for hazard elimination OH&S risk reduction, change management.

### 6.4.3 Domain 3. Fundamentals and Principles of ISO 45001 Audit

#### Knowledge for:

1. Essential characteristics of an auditor in audit ISO 45001.
2. Main audit concepts and standard/principle as stated and described in ISO 19011.
3. Knowledge of Professional job responsibilities, legal requirements for audit.
4. Number of principles. (Integrity, fair presentation, dual professional care, confidentiality, independence).
5. Demonstrate competencies, fair and unbiased judgement, while carrying out audit
6. Understanding of the differences between first, second, and third-party audit.
7. Common structure, identical core requirements and common terms and definitions of Audit ISO 19011.
8. Laws and regulations applicable to the auditee and the country it operates in.
9. Work Style Assessment that demonstrates independencies/impartiality of the audit.
10. Appropriate work values, style, and attributes related to ISO 19011.
11. Evidence-based approach, risk -based approach to an audit and the different types of risk related activities such as inherent risk, control risk, and identification of risk.
12. Explain, and validate the application of the audit principles in a OH&S MS audit.
13. Budgeting, finance, and economic analysis techniques and principles for OH&S MS achieving.
14. Audit prerequisite for management system, and audit types (internal, external & third party).
15. Assessment of required sources and maintenance occupational health & safety standards at workplace.
16. Professional responsibility and PEEB Code of Ethics. (Care, fair presentations, confidentiality, independence, integrity).

#### Skills:

1. Risk Based Thinking (RBT) of ISO 45001.
2. Conduct effective leadership analyses and task analyses (job descriptions, responsibilities, accountabilities).
3. To understand, describe and demonstrate the application of the audit standard of Occupational Health & Safety Management system.
4. Identify and evaluate/judge the circumstances that would discredit the professionalism of the auditor and violate the PEEB Code of Ethics.
5. Ability to judge and identify ethical issues considering the obligation related to the client, auditee, law enforcement, and regulatory authorities.
6. Ability to provide good communication, professional care towards judgement in aiding.
7. Understand the legal implications related to any irregularities committed by the auditee.
8. OH&S management system evaluation within organisation and Continual Improvement.
9. Relate management system plan to the provision of specific outputs of a management system (e.g., quality plan, project plan).
10. Identify the requirements of ISO 45001 standards for the sustainability, maintaining and continuity delivery of OH&S MS.
11. Integrate the health and safety management system and management functions according to ISO 19011 into organizational structure, culture & design etc.
12. Ability to evaluate the audit management and auditing Performance of audit team.

#### **6.4.4 Domain 4. Preparing an ISO 45001 Audit**

##### **Knowledge of:**

1. Best practice for audit plan preparation, procedures, audit objectives, audit scope, and audit criteria.
2. Knowledge of the audit objectives, audit scope and criteria clearly.
3. Explain PDCA cycle and its application to occupational health and safety management system processes.
4. Performance evaluation of the occupational health and safety management system.
5. Make audit outlines for the implementation in health and safety management system.
6. Describe the purpose of an occupational health and safety management system and standard of OH&S MS.
7. Clarify the audit requirements, functionality with the context of the organization which is being audited.
8. Establish management system processes, standards, and requirements defined by the organization or other parties/competitors.
9. Differentiate occupational health and safety management scope and the Audit scope.
10. Factors to consider during the audit feasibility and cultural aspects of audit management system.
11. Characteristics of terms of the audit engagement and the best practices to establish the initial contact with an auditee.
12. Preparation and development of audit working papers.

##### **Skills:**

1. Understand and demonstrate the steps and activities for preparing audit OH&S MS.
2. Establish, evaluate, and validate the audit objectives, the audit criteria and scop for OH&S MS.
3. Relevant requirements, information about internal, external issues and considering the specific context of the audit.
4. Ability to establish and justify the types and amount of evidence required in an OH&S MS audit.
5. Describe and understand the roles and responsibilities of the audit team leader members, and team leader.
6. Ability to develop audit working papers and detailed appropriate audit test plans in an OH&S MS audit.
7. Determine the audit feasibility and evaluate the level of materiality through different stages of an OH&S MS audit.
8. Demonstrate, and describe the terms of the audit commitment and use best practices to develop the initial contact with an auditee.
9. Defines the different methodologies of auditing in relation to the OH&S system to ensure it is effective at all levels of the organization and meets the requirements of the standard.

#### **6.4.5 Domain 5. Conducting an ISO 45001 Audit (Stages/Process)**

##### **Knowledge of:**

1. Establish audit objectives, and content of opening meeting.
2. Contact with auditee and conduct opening meetings with auditee.
3. Establish stage 1 and stage 2 characteristics and activities.

4. Evaluate boundaries and verify audit objectives, criteria, and applicability scope for an Occupational health & safety Management system audit.
5. Select communication channels, and authority to conduct the audit.
6. Access relevant information and documented information for evaluation criteria and ISO 45001 requirements.
7. Determining the feasibility of the audit (information for planning, cooperation with auditee, resources).
8. Roles and responsibilities of guides and observers during an audit OH&S MS.
9. Evidence collection, audit procedures and tools such as interview, opinions, analysis, sampling, documented information, and technical verification.
10. Evidence collection concepts, principles, procedure, and evidence analysis.
11. Evaluate and distinguish the maintaining and retaining documented information and criteria.
12. Understanding of the benefits and drawbacks of using audit checklists.

**Skills:**

1. Conduct the stage 1 audit, considering the documented information evaluation criteria.
2. Select communication channel for audit and organize and conduct opening meetings with auditee.
3. Ability to provide document of clear guidance on auditing management system, managing audit program.
4. Conduct the stage 2 audit appropriately according to the procedures that is stated in standard 19011.
5. Clarify the need for audit confidentiality and best practice of communication to collect the appropriate audit evidence and evaluate objectively.
6. Evaluate and consider the roles, responsibilities, and accountabilities of all the linked/interested and concerned parties.
7. Audit the provided considerations and discover the specific competencies are needed.
8. Describe, illustrate, and apply evidence gathering tool and process.
9. Apply audit evidence methodologies and approaches in an OH&S MS audit.
10. Review the audit findings and determine the audit conclusion.

**6.4.6 Domain 6. Conducting the Closing an ISO 45001 Audit**

**Knowledge of:**

1. Conducting closing meetings with auditee to present audit findings.
2. Apply and explain evidence evaluation process/procedure, layout audit outcomes and preparing audit final conclusions/ decision of an audited organization.
3. Understand the evaluation of evidence process to make audit finding and prepare audit outcome.
4. Characteristics and differences between the concepts of minor conformity, non-conformity, major NCR, variance, observation.
5. Best practice to draft clear and concise report about audit NCR's.
6. Complete the audit according to the stated and conduct review of documents and perfume quality review.
7. Demonstrate the guidelines and provide best practice to present audit finding and conclusions to the management of an audited organization.

8. Provide Identification of positive feedback of audit findings in addition to nonconformity, and acknowledgement of potential risks and opportunities for improvement/development.
9. Generate possible recommendations that and audit can issue during the certification audit.
10. Corrective action review of strategies and plan structure, analyze the risk analysis cost and predicted risk management
11. Understanding of audit follow-ups, investigation, and recertification audit constraints steps, and actions.
12. Explain the condition for the modification, extension, suspension, or withdrawal of an organization's certification.

**Skills:**

1. Ability to organize closing meetings and conduct the activities following an initial audit activity.
2. Understand and explain, concepts of benefits of the doubt.
3. Generate appropriate audit observations in accordance with audit rules and principles.
4. Review and conduct quality check for the OH&S and documentation.
5. Ability to windup the audit document working and present the audit conclusion.
6. Write an ISO 45001 audit report and justify the recommendations for certification.
7. Ability to organize the activities following an initial audit, including the evaluation of activity plans, follow ups, and surveillance actions.
8. Generate a statement on the degree to which the audit criteria have been fulfilled.
9. Distributing the audit reports (should be dated, reviewed, accepted, and appropriate) in accordance with the audit program.

#### **6.4.7 Domain 7. Managing/Supervising an ISO 45001 Audit**

**Knowledge for:**

1. Understanding of PDCA application in the management of the audit program of OH&S MS.
2. Manage the significance of protecting the integrity, availability, and confidentiality of audit records and the auditors' responsibilities in this regard.
3. Knowledge of the requirements, best practice, guidelines regarding audit resources, procedure, and policies of ISO 45001.
4. Understanding of combined management audit, and management audit records.
5. Status of required actions from previous and existing management reviews.
6. Potential requirements of resources to mitigate the customers satisfactions.
7. Knowledge of the personal attributes and behaviors of a professional auditor.

**Skills:**

1. Best practice and understanding of the establishment audit program and the application of the PDCA cycle in audit.
2. Demonstrate the importance of protecting the integrity, availability and confidentiality of audit records and the auditors' job roles in this audit.
3. Evaluate the audit process and efficiency and understand the documented information management process.
4. Evaluate proposals for corrective action and differentiate between correction and corrective action.
5. Ability to distinguish the nonconformity outputs, before and after.

- Determining the same NCR existence in review procedure.

## **6.5 Glossary**

### **6.5.1 Case-Based Questions**

A set of questions associated with a brief scenario.

### **6.5.2 Competencies**

The behaviour statements which reflect the combined knowledge, abilities, skills, attitudes, and judgment expected of an entry-level registered safety professional.

### **6.5.3 Independent Items**

Stand-alone objective examination items which contain the information necessary for responding.

### **6.5.4 Operational Questions**

Questions appearing on the examination that has been pre-tested and that is suitable for the examination. The answer to these questions counts in the candidate's score.

## **6.6 Following Certification Survey**

Certification Examination Survey will be sent to you after the writing window closes. You are encouraged to complete the survey and submit your feedback.

Approximately six to eight weeks following the PEEB administration, you will be mailed your results. You will be provided with your overall score and your score for each of the subject areas (domains). To assure confidentiality, no candidate test scores will be reported over the telephone, by electronic mail or by facsimile.

## **6.7 Security**

The PEEB maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. The PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

## **7 CERTIFICATION & MAINTENANCE**

### **7.1 Obtaining your Results**

In case of online examination, once you complete your examination, the result will be displayed on your computer screen immediately and in case of paper-based examination your results will be emailed in four (4) weeks from the date of examination.

If you do not pass, you will receive instructions on how to re-sit the examination and If you pass, you will receive information on the necessary steps to complete the certification requirements.

If you owe any outstanding fees to the PEEB related to the application or examination process, your examination results may be withheld until your account is up to date.

### **7.2 Passing Score Determination**

#### **7.2.1 Appeals**

Because the performance of each question on the certification exam included in the final score has been pretested, there is no appeal process to challenge individual exam questions, answers, or a failing score. The PEEB will not release or discuss individual questions with candidates. To do so would require elimination of that question from the item bank of pretested questions and deplete the number of pretested questions required to develop future versions of the certification.

Additionally, appeals may be considered for alleged inappropriate certification exam administration procedures or environmental testing conditions severe enough to cause a major disruption of the certification exam process.

All appeals must be submitted in writing. Eligibility appeals must be received within fifteen (15) days of the notification of your assessment results. Appeals for alleged inappropriate administration procedures or severe adverse environmental testing conditions must be received within fifteen (15) days of the release of certification exam results.

#### **7.2.2 Upon Successful Completion of Certification**

Once approved, you are encouraged to use the credential on correspondence, business cards and all forms of address. Certification is for individuals only. The certification credential may not be used to imply that an organisation is certified.

#### **7.2.3 Upon Unsuccessful Certification Exam**

If certification exam is unsuccessful, candidate can sit 3 times in a year in PEEB certification examination.

#### **7.2.4 Achieving Certification**

On successful certification an online certificate (Portable Document Format PDF) will be shared through email which can be verified electronically through MY PEEB.

**PEEB Directories:** PEEB publishes directories of individuals who currently hold the certification. An abbreviated format, containing names, cities, and states, appears on the PEEB website and allows viewers to confirm if a person currently holds a certification.

### 7.3 Maintaining Your Certification

To retain your certification, you must:

- Inform PEEB when your mail or email address changes
- Pay your annual fee
- Complete Recertification requirements

#### 7.3.1 Changing Your Name

If you change your name through marriage or other court proceedings, you may request a name change by contacting [info@peebonline.com](mailto:info@peebonline.com) additionally, you must provide a copy of the court record or marriage certificate to register the change.

#### 7.3.2 Paying Your Annual Renewal Fee

The authority to use the certification title is valid for one year. It must be renewed annually. You will receive a prorated fee for the remainder of the year in which you pass the examination. Each following year, PEEB will send you a notice when your annual renewal fee is due. PEEB gives you several options for paying the fee online via a credit card or by phone. After receiving your payment, PEEB will post your instant wallet card and email you a receipt.

#### 7.3.3 Reinstatement

If you fail to pay your annual renewal fee on time or fail to achieve the required recertification points every three years, PEEB will send you a notice that your credential has been invalidated and you no longer hold the certification.

### 7.4 Recertification

Certification holder required to maintain certification by fulfilling the requirements of the Certification Maintenance Program (CMP). The Certification is valid for three years. To maintain his/her certification, the applicant must demonstrate every year that he/she is still performing tasks that are related to the certification.

Certified Professionals should engage in appropriate continual professional development activities to maintain the necessary knowledge to perform their tasks with competence. Depending on the certification applicable, these activities include education, work experience, auditor training, audit experience, implementation and/or consulting experience.

This may be achieved through means such as additional work experience, training, private study, coaching, attendance at meetings, seminars and conferences or other relevant activities.

**When to submit CPD Logs:** The certified professionals will need to provide with the number of hours of CPD related tasks they have performed with the contact details of individuals / organization who can validate these tasks. The CPD can be maintained and logged in MY PEEB application once any activity is completed.

The CPD must be submitted every year, starting from their initial certificate issuance date, as well as paying their Annual Maintenance Fee (AMF).