



LEAD AUDITOR EXAMINATION THEORY QUESTION PAPER

BMQR - PCD/LA/45001/EQP 01 – T

REV: 01





LEAD AUDITOR QUESTION PAPER



NAME OF THE DELEGATE	
CERTIFICATION ID	
CERTIFICATION NAME	
DATE OF EXAMINATION	
SIGNATURE OF THE DELEGATE	
SIGNATURE OF THE INVIGILATOR.	

Note: THE NAME GIVEN HERE WILL APPEAR IN THE CERTIFICATE.



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INSTRUCTIONS

1. The examination paper is in five parts. Attempt all parts and all questions.
2. The time allowed is three hours. There is no additional time allowed for reading the questions paper.
3. Laptop and Mobile Phones are not allowed inside the Exam hall.
4. ISO 45001:2018, ISO 19011:2018 standard and dictionary (Hard Copy) are allowed to use during the exam. But course materials and training notes are not allowed inside the exam hall.
5. Try to write with your own wordings.
6. All the answers shall be within this question papers only. No extra paper will be allowed.



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PART A

TOTAL MARKS: 100
MARKS: 20x1=20
EACH 1 MARK

CHOOSE THE CORRECT ANSWER. ANSWER ALL THE QUESTIONS.

- 1) According to ISO 45002:2023, what is the primary purpose of an OH&S management system?
 - A) Increase company sales
 - B) Eliminate all workplace hazards
 - C) Prevent work-related injury and ill health
 - D) Ensure employee satisfaction
- 2) What is the meaning of "consultation" in the context of OH&S?
 - A) Dictating tasks to employees
 - B) One-way communication from management
 - C) Seeking views before making decisions
 - D) Appointing safety officers
- 3) What is the correct hierarchy of controls in occupational health and safety?
 - A) PPE, Engineering controls, Administrative controls, Elimination
 - B) Elimination, Substitution, Engineering controls, Administrative controls, PPE
 - C) Substitution, PPE, Elimination, Engineering controls
 - D) Engineering controls, PPE, Elimination, Substitution
- 4) An example of substitution as a control measure is:
 - A) Replacing a hazardous solvent with a less harmful one
 - B) Issuing PPE to employees
 - C) Conducting training
 - D) Hiring external contractors
- 5) According to ISO/IEC 17021-10, what is a key attribute required of an OH&S auditor?
 - A. Financial knowledge
 - B. Legal drafting skills
 - C. Ability to identify and assess OH&S hazards
 - D. Proficiency in marketing

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- 6) Which of the following is the primary objective of the Factories Act, 1948?
- A. Improve productivity
 - B. Regulate factory layouts
 - C. Ensure safety, health, and welfare of workers
 - D. Enforce tax compliance
- 7) Fire extinguishers in high-voltage areas should be of which type?
- A) Water
 - B) Foam
 - C) CO₂
 - D) Dry Powder
- 8) Safety signage falls under:
- A) Administrative control
 - B) Substitution
 - C) Elimination
 - D) Engineering control
- 9) Who is defined as the "Occupier" under the Factories Act?
- A. Worker representative
 - B. Factory inspector
 - C. The person who has ultimate control over the factory affairs
 - D. Factory supervisor
- 10) Musculoskeletal disorders (MSDs) are most likely caused by:
- A) Noise exposure
 - B) Manual lifting
 - C) Slips and falls
 - D) Fire hazards
- 11) Which one of the following is an input to hazard identification?
- A) Emergency response training records
 - B) Shift rosters
 - C) Incident records and near misses
 - D) Customer complaints

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- 12) Which class of fire involves flammable liquids such as petrol or paint?
- A. Class A
 - B. Class B
 - C. Class C
 - D. Class D
- 13) What color is a water-based fire extinguisher in most international standards?
- A. Blue
 - B. Black
 - C. Red
 - D. Yellow
- 14) What is the best first action when discovering a chemical spill during an audit?
- A) Inform the media
 - B) Evacuate the plant
 - C) Notify responsible personnel and stop unsafe activity
 - D) Take photographs for evidence
- 15) The correct sequence to use a fire extinguisher is:
- A. Aim, Sweep, Pull, Squeeze
 - B. Pull, Aim, Squeeze, Sweep (PASS)
 - C. Squeeze, Sweep, Pull, Aim
 - D. Aim, Squeeze, Pull, Sweep
- 16) When should emergency drills be reviewed?
- A) Only during third-party audits
 - B) After every emergency or significant change
 - C) Once every five years
 - D) When management requests
- 17) Which of the following is an example of an engineering control for workplace safety?
- A. Job rotation
 - B. Training
 - C. Machine guarding
 - D. Personal protective equipment



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- 18) The use of PPE is considered:
- A) The most effective risk control
 - B) A last line of defense
 - C) A method of elimination
 - D) A top-tier control
- 19) What is the purpose of a toolbox talk?
- A. To distribute tools
 - B. To brief workers on safety before starting a task
 - C. To store equipment
 - D. To inspect toolboxes
- 20) Which of the following injuries is most likely to occur from manual lifting?
- A) Eye injury
 - B) Burn injury
 - C) Musculoskeletal disorder (MSD)
 - D) Hearing loss

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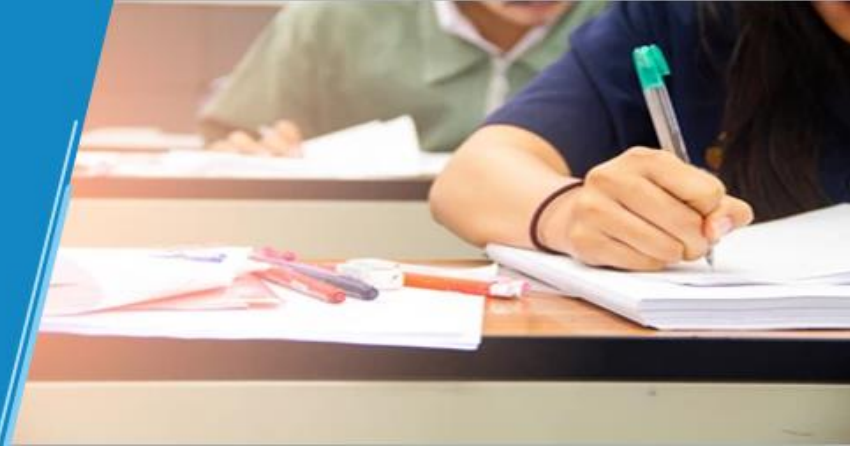


3. What is the purpose of worker participation in the risk assessment process?

4. You are planning a certification audit for a small engineering company involved in the design, development, manufacture, and supply of machined components. The company has 17 employees. As a lead auditor, how will you determine the audit man-days based on the organizational context and operational processes? How many audit man-days are required?



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5. State the role of ISO/IEC 17021-10 in auditor competence.

6. Why is external and internal communication important in emergency preparedness?



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7. You are preparing for a Stage 1 audit of a construction company applying for ISO 45001:2018 certification. As the lead auditor, you plan to develop an audit checklist. Based on your knowledge of ISO 19011 and auditor competence requirements, what is an audit checklist, and what are its key benefits during audit planning and execution?



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PART C

MARKS: 5x3= 15
EACH 5 MARKS

LONG ANSWER. ANSWER ALL THE QUESTIONS.

- 1) As a lead auditor, how would you assess the implementation of legal and regulatory compliance during an audit of a construction site? Provide examples.

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2) During an ISO 45001 audit of a chemical manufacturing company, the audit team observed that the organization had not adequately identified and assessed the risks related to chemical spill response under emergency preparedness. How should the lead auditor proceed with audit follow-up in this situation? Explain in detail with reference to audit follow-up process and an example.



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3) During an internal audit at a chemical manufacturing plant, it was observed that emergency response drills were not conducted for chemical spills in the last 12 months, despite it being a significant identified risk. As an ISO 45001 lead auditor, explain in detail how you would conduct the audit follow-up in this case.



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PART D

MARKS: 3x5= 15
EACH 5 MARKS

SITUATIONAL JUDGMENT TEST. ANSWER ALL THE QUESTIONS

1. During the ISO 45001:2018 certification audit of “Tex Fab Pvt. Ltd.” (Textile manufacturer, 100 employees, operating dyeing and printing machines), the auditor notes poor ventilation and workers reporting breathing discomfort. Describe how you will evaluate the risk assessment and medical surveillance systems.



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2. In "Smart Metal Ltd.", welding operations are carried out adjacent to paint storage. Emergency exits are blocked. Draft a checklist to audit emergency preparedness.

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3. An initial certification audit for ISO 45001:2018 is scheduled at a food products manufacturing organization "RFP Limited" located in Germany.

The company employs 125 people and includes departments such as Top Management, Marketing & Sales, Purchase, Production, Quality Control, Laboratory, Maintenance, Legal, HR, and an ISO Cell. The scope of certification is: "Manufacturing and supplying of food products for ready to eat and ready to cook."

As a lead auditor, you are assigned to assess how effectively the Production Department has identified occupational health and safety hazards, assessed risks, and prepared for emergencies. Prepare a detailed audit checklist covering these aspects for the Production Department.



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PART E

MARKS: 10x2=20
EACH 10 MARKS

AUDIT TEST ANALYSIS. ANSWER ALL THE QUESTIONS.

1. At ABC Foundries, the PPE distribution logbook is outdated and there's no evidence of PPE being issued for the past three months. Several grinding operators are observed without eye protection

Question:

- a) Is there any non-conformity? If YES, write a non-conformance report.
- b) If there is no non-conformity, please specify the reason for the same.



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NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 45001:2018		
AREA			
<input type="checkbox"/> MAJOR	<input type="checkbox"/> MINOR	Details of non-conformance	
AUDITOR RAISING THE NCR			
(Sign)			
ORGANIZATION'S REP		AUDITEE PROPOSED CORRECTIVE ACTION PLAN * (ATTACH SEPARATE SHEET, IF REQUIRED)	
(SIGNATURE)			
PROPOSED COMPLETION (Date)		Correction(s)	
RESPONSIBLE PERSON (S)			
ORGANIZATION'S REP		Root cause(s)	
(SIGNATURE)			
COMPLETION DATE		Corrective action(s)	
FOLLOW UP REQUIREMENT			
<input type="checkbox"/> Document Proof			
<input type="checkbox"/> Follow up visit		Auditor Acceptance of Corrective Action Plan: Signature: _____ Auditor	
<input type="checkbox"/> During subsequent surveillance audits			
CONCLUSION			
<input type="checkbox"/> Closed		<input type="checkbox"/> Not Closed	
		<input type="checkbox"/> Further NCR to be issued NCR No.....	
ASSESSOR (SIGNATURE)		Date	

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2. During an audit of XYZ Paints Ltd., workers handling flammable chemicals are unaware of the spill procedures, and no spill drill has been conducted in the last year an audit of XYZ Paints Ltd., workers handling flammable chemicals are unaware of the spill procedures, and no spill drill has been conducted in the last year

Question:

- A)** Is there any non-conformity? If YES, write a non-conformance report.
B) If there is no non-conformity, specify the reason.



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NON CONFORMANCE REPORT			
NCR NO		Audit Ref No.	
DETAILS OF NON-CONFORMITY			
DATE		Standard Requirement(s)	
Cl. No.			
STANDARD	ISO 45001:2018		
AREA			
<input type="checkbox"/> MAJOR	<input type="checkbox"/> MINOR	Details of non-conformance	
AUDITOR RAISING THE NCR			
(Sign)			
ORGANIZATION'S REP (SIGNATURE)			
AUDITEE PROPOSED CORRECTIVE ACTION PLAN * (ATTACH SEPARATE SHEET, IF REQUIRED)			
PROPOSED COMPLETION (Date)		Correction(s)	
RESPONSIBLE PERSON (S)			
ORGANIZATION'S REP (SIGNATURE)		Root cause(s)	
COMPLETION DATE			
FOLLOW UP REQUIREMENT		Corrective action(s)	
<input type="checkbox"/> Document Proof			
<input type="checkbox"/> Follow up visit			
<input type="checkbox"/> During subsequent surveillance audits			
		Auditor Acceptance of Corrective Action Plan: Signature: _____ Auditor	
CONCLUSION			
<input type="checkbox"/> Closed		<input type="checkbox"/> Not Closed	
		<input type="checkbox"/> Further NCR to be issued NCR No.....	
ASSESSOR (SIGNATURE)		Date	



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<i>For office use only</i>			
PART	MAXIMUM MARK	MARKS OBTAINED EVALUATOR -1	MARKS OBTAINED EVALUATOR -2
A			
B			
C			
D			
E			
TOTAL			
TEST RESULT			
DATE OF EVALUATION			
SIGNATURE OF EVALUATOR			

CONCLUSION