



When Recognition Matters



EXAM PREPARATION GUIDE

PECB Certified OHSAS 18001 Lead Implementer

The objective of the “**PECB Certified OHSAS 18001 Lead Implementer**” examination is to ensure that the candidate possesses the necessary expertise to support an organization in establishing, implementing, managing and maintaining an Occupational Health and Safety Management System (OHSMS) based on OHSAS 18001.

The target population for this examination is:

- Managers or consultants involved in Occupational Health and Safety Management
- Expert advisors seeking to master the implementation of an Occupational Health and Safety Management System
- Individuals responsible for maintaining conformance with OHSMS requirements
- OHSMS team members

The exam content covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of an Occupational Health and Safety Management System (OHSMS)
- **Domain 2:** Occupational Health and Safety Management System (OHSMS)
- **Domain 3:** Planning an OHSMS implementation based on OHSAS 18001
- **Domain 4:** Implementing an OHSMS based on OHSAS 18001
- **Domain 5:** Performance evaluation, monitoring and measurement of an OHSMS based on OHSAS 18001
- **Domain 6:** Continual improvement of an OHSMS based on OHSAS 18001
- **Domain 7:** Preparing for an OHSMS certification audit

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts of an Occupational Health and Safety Management System (OHSMS)

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can understand, interpret and illustrate the main Occupational Health and Safety Management concepts related to an Occupational Health and Safety Management System (OHSMS).

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Understand and explain the operations of the organization and the development of Occupational Health and Safety Management standards. 2. Ability to identify, analyze and evaluate the Occupational Health and Safety Management compliance requirements for an organization. 3. Ability to explain and illustrate the main concepts in Occupational Health and Safety Management System. 	<ol style="list-style-type: none"> 1. Knowledge of the application of the fundamental ISO management principles and their relationship to the Occupational Health and Safety Management System. 2. Knowledge of the main standards in Occupational Health and Safety Management. 3. Knowledge of the different sources of Occupational Health and Safety Management System requirements for an organization: laws, regulations, international and industry standards, contracts, market practices, and internal policies. 4. Knowledge of the main Occupational Health and Safety Management concepts and terminology as described in OHSAS 18001. 5. Knowledge of the concepts of incident, accident, hazard and risk, and their implications.

Domain 2: Occupational Health and Safety Management System (OHSMS)

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can understand, interpret and provide guidance on how to implement and manage Occupational Health and Safety Management requirements based on the best practices of OHSAS 18001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to identify, understand, classify and explain the requirements of the clauses of OHSAS 18001. 2. Ability to detail and illustrate the requirements and best practices through concrete examples. 3. Ability to compare possible solutions to an Occupational Health and Safety Management issue of an organization and identify/analyze the strengths and weaknesses of each proposed solution. 4. Ability to select and demonstrate the best Occupational Health and Safety Management solutions in order to address the Occupational Health and Safety Management objectives set by the organization. 5. Ability to analyze, evaluate and validate action plans to implement a specific requirement. 	<ol style="list-style-type: none"> 1. Knowledge of operational planning and control. 2. Knowledge of the OHSAS 18001 requirements. 3. Knowledge on the best practices in Occupational Health and Safety Management. 4. Knowledge of Occupational Health and Safety strategies and approaches. 5. Knowledge of establishing, implementing and maintaining Occupational Health and Safety Management procedures. 6. Knowledge on implementing and managing action plans to support the OHSMS implementation in an organization.

Domain 3: Planning an OHSMS implementation based on OHSAS 18001

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can plan the implementation of an OHSMS in preparation for an OHSAS 18001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to manage an OHSMS implementation project by following the best practices of project management. 2. Ability to collect, analyze and interpret the necessary information to plan the OHSMS implementation. 3. Ability to observe, analyze and interpret the internal and external environment of an organization. 4. Ability to perform a gap analysis and clarify the Occupational Health and Safety Management objectives of an organization. 5. Ability to state and justify an OHSMS scope based on the objectives of a specific organization. 6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization. 7. Ability to perform the different steps of the risk assessment and risk treatment phases. 	<ol style="list-style-type: none"> 1. Knowledge of the main project management concepts, terminology, process and best practices. 2. Knowledge of the principal approaches and methodology frameworks to implement an OHSMS. 3. Knowledge of the main concepts and terminology related to organizations. 4. Knowledge of an organization's internal and external environment. 5. Knowledge of the main interested parties related to an organization and their characteristics. 6. Knowledge of the techniques used to gather information on an organization and perform a gap analysis of a management system. 7. Knowledge of the characteristics of an OHSMS scope in terms of organizational, technological and physical boundaries. 8. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment. 9. Knowledge of the main activities of the risk identification, estimation, evaluation related to the personnel included in the OHSMS of an organization.

Domain 4: Implementing an OHSMS based on OHSAS 18001

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can implement the processes of an OHSMS required for an OHSAS 18001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and analyze the needs and provide guidance on the attribution of roles and responsibilities in the context of the OHSMS implementation and management. 2. Ability to define the document and record management processes needed to support the implementation and operations of an OHSMS. 3. Ability to define and design processes and properly document them. 4. Ability to define and write OHSMS policies and procedures. 5. Ability to implement the required processes of an OHSMS. 6. Ability to define and implement appropriate Occupational Health and Safety Management training, awareness and communication plans. 7. Ability to define and implement an incident management process based on the best practices of Occupational Health and Safety Management. 8. Ability to transfer an OHSMS project to operations and manage the change management process. 	<ol style="list-style-type: none"> 1. Knowledge of the roles and responsibilities of the key interested parties during and after the implementation of an OHSMS. 2. Knowledge of the main organizational structures applicable for an organization to manage Occupational Health and Safety Management. 3. Knowledge of the best practices on document and record management processes and the document management life cycle. 4. Knowledge of the characteristics and the differences between the different documents related to OHSMS: policies, procedures, guidelines, standards, worksheets, etc. 5. Knowledge of model-building controls, process techniques and best practices. 6. Knowledge of implementing controls, processes and best practices. 7. Knowledge of the techniques and best practices to write Occupational Health and Safety Management policies, procedures and other types of documents included in an OHSMS. 8. Knowledge of the characteristics and the best practices to implement Occupational Health and Safety Management training, awareness and communication plans. 9. Knowledge of the characteristics and main processes of an incident management process based on best practices. 10. Knowledge of the best practices in change management techniques.

Domain 5: Performance evaluation, monitoring and measurement of an OHSMS based on OHSAS 18001

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can evaluate, monitor and measure the performance of an OHSMS in the context of an OHSAS 18001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to monitor and evaluate the effectiveness of an OHSMS. 2. Ability to verify to what extent the identified Occupational Health and Safety Management requirements have been met. 3. Ability to define and implement an internal audit program for OHSAS 18001. 4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an OHSMS based on the policies and objectives of an organization. 5. Ability to define and implement a management review process and counsel management on it. 	<ol style="list-style-type: none"> 1. Knowledge of the techniques and best practices to monitor the effectiveness of an OHSMS. 2. Knowledge of the main concepts and components related to an Occupational Health and Safety Management Measurement Programme: measures, attributes, indicators, dashboards, etc. 3. Knowledge of the characteristics and differences between operational, tactical and strategic Occupational Health and Safety Management indicators and dashboards. 4. Knowledge of the techniques and methods used to define and document adequate and reliable indicators. 5. Knowledge of the main concepts and components related to the implementation of an OHSMS internal audit program. 6. Knowledge of the best practices on how to perform management reviews.

Domain 6: Continual improvement of an OHSMS based on OHSAS 18001

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can provide guidance on the continual improvement of an OHSMS in the context of OHSAS 18001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to identify and analyze the root-causes of nonconformities and propose action plans to treat them. 2. Understand the principles and concepts related to continual improvement. 3. Ability to counsel an organization on how to continually improve the effectiveness and efficiency of an OHSMS. 4. Ability to implement OHSMS continual improvement processes in an organization. 5. Ability to determine the appropriate business improvement tools to support continual improvement processes of an organization. 	<ol style="list-style-type: none"> 1. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities. 2. Knowledge of the main processes, tools and techniques used by professionals to develop and propose the best corrective and preventive action plans. 3. Knowledge of the guidelines and best practices to write a nonconformity report. 4. Knowledge of the main concepts related to continual improvement. 5. Knowledge of the characteristics and differences between the concepts of effectiveness and efficiency. 6. Knowledge of the concepts and techniques used to perform benchmarking. 7. Knowledge of the maintenance and improvement of an OHSMS.

Domain 7: Preparing for an OHSMS certification audit

Main objective: To ensure that the OHSAS 18001 Lead Implementer candidate can prepare and assist an organization for the certification of an OHSMS against the OHSAS 18001 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the main steps processes and activities related to an OHSAS 18001 certification audit. 2. Ability to understand, explain and illustrate the audit evidence approach in the context of an OHSAS 18001 audit. 3. Ability to counsel an organization to identify and select a certification body that meets their needs. 4. Ability to review the readiness of an organization for an OHSAS 18001 certification audit. 5. Ability to coach and prepare an organization's personnel for an OHSAS 18001 certification audit. 6. Ability to argue and challenge the audit findings and conclusions with external auditors. 	<ol style="list-style-type: none"> 1. Knowledge of the evidence based approach in an audit. 2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal. 3. Knowledge of the difference of the stage 1 and stage 2 audits. 4. Knowledge of stage 1 audit requirements, steps and activities. 5. Knowledge of the documentation review criteria. 6. Knowledge of stage 2 audit requirements, steps and activities. 7. Knowledge of follow-up audit requirements, steps and activities. 8. Knowledge of surveillance audits and recertification audit requirements, steps and activities. 9. Knowledge of the requirements, guidelines and best practices to develop action plans following an OHSAS 18001 certification audit.

Based on these seven (7) domains and their relevance, twelve (12) questions are included in the exam, as summarized in the following table:

		Points per Question	Level of Understanding (Cognitive/Taxonomy) Required		Number of Questions per competency domain	% of test devoted to each competency domain	Number of Points per competency domain	% of Points per competency domain
			Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation				
Competency/Domains	Fundamental principles and concepts of Occupational Health and Safety Management System (OHSMS)	5	X		1	8.33	5	6.67
	Occupational Health and Safety Management System (OHSMS)	5	X		1	8.33	5	6.67
	Planning an OHSMS implementation based on OHSAS 18001	5		X	1	8.33	5	6.67
	Implementing an OHSMS based on OHSAS 18001	10		X	3	25.00	25	33.33
		5		X				
		10		X				
	Performance evaluation, monitoring and measurement of an OHSMS based on OHSAS 18001	10		X	3	25.00	20	26.67
		5		X				
		5		X				
	Continual improvement of an OHSMS based on OHSAS 18001	5		X	2	16.67	10	13.33
		5		X				
	Preparing for an OHSMS certification audit	5		X	1	8.33	5	6.67
Total points		75						
Number of Questions per level of understanding			2	10				
% of Test Devoted to each level of understanding (cognitive/taxonomy)			16.67	83.33				

The passing score is **70%**.

After successfully passing the exam, candidates will be able to apply for the credential of PECB Certified OHSAS 18001 Lead Implementer, depending on their level of experience.

TAKE A CERTIFICATION EXAM

Candidates will be required to arrive at least thirty (30) minutes before the beginning of the certification exam. Candidates that arrive late will not be given additional time to compensate for the late arrival and may be denied entry to the exam room (if they arrive more than 5 minutes after the beginning of the exam scheduled time).

All candidates will need to present a valid identity card with a picture such as a driver's license or a government ID to the invigilator.

The exam duration is three (3) hours.

The questions are essay type questions. This type of format was chosen because the intent is to determine whether an examinee can write a clear coherent answer/argument and to assess problem solving techniques. Because of this particularity, the exam is set to be "open book" and does not measure the recall of data or information. The examination evaluates, instead, comprehension, application, analysis, synthesis and evaluation, which mean that even if the answer is in the course material, candidates will have to justify and give explanations, to show they really understood the concepts. At the end of this document, you will find sample exam questions and their possible answers.

As the exams are "open book"; candidates are only authorized to use the following reference materials:

- A copy of the OHSAS 18001:2007 standard,
- Course notes from the Participant Handout,
- Any personal notes made by the student during the course, and
- A hard copy dictionary.

The use of electronic devices, such as laptops, cell phones, etc., is not allowed.

All attempts to copy, collude or otherwise cheat during the exam will automatically lead to the exam's failure.

PECB exams are available in English. For availability of the exam in a language other than English, please contact examination@pecb.com.

RECEIVE YOUR EXAM RESULTS

Results will be communicated by email in a period of 6 to 8 weeks, after taking the exam. The results will not include the exact grade of the candidate, only a mention of pass or fail.

Candidates who successfully complete the examination will be able to apply for a certified scheme.

In the case of a failure, the results will be accompanied with the list of domains in which the candidate had a low grade, to provide guidance for exams' retake preparation.

Candidates who disagree with the exam results may file a complaint by writing to examination@pecb.com. For more information, please refer to www.pecb.com.

EXAM RETAKE POLICY

There is no limit on the number of times a candidate may retake an exam. However, there are some limitations in terms of allowed time-frame in between exam retakes, such as:

- If a candidate does not pass the exam on the first attempt, he/she must wait 15 days for the next attempt (1st retake). Retake fee applies.

Note: *Students, who have completed the full training but failed the written exam, are eligible to retake the exam once for free within a 12 month period from the initial date of the exam.*

- If a candidate does not pass the exam on the second attempt, he/she must wait 3 months (from the initial date of the exam) for the next attempt (2nd retake). Retake fee applies.
- If a candidate does not pass the exam on the third attempt, he/she must wait 6 months (from the initial date of the exam) for the next attempt (3rd retake). Retake fee applies.

After the fourth attempt, a waiting period of 12 months from the last session date is required, in order for candidate to sit again for the same exam. Regular fee applies.

For the candidates that fail the exam in the 2nd retake, PECB recommends to attend an official training in order to be better prepared for the exam.

To arrange exam retakes (date, time, place, costs), the candidate needs to contact the PECB partner who has initially organized the session.

CLOSING FILES

Closing a file is equivalent to rejecting a candidate's application. As a result, when candidates request that their file be reopened, PECB will no longer be bound by the conditions, standards, policies, candidate handbook or exam preparation guide that were in effect before their file was closed.

Candidates who want to request that their file be reopened must do so in writing, and pay the required fees.

EXAMINATION SECURITY

A significant component of a successful and respected professional certification credential is maintaining the security and confidentiality of the examination. PECB relies upon the ethical behaviour of certificate holders and applicants to maintain the security and confidentiality of PECB examinations. When someone who holds PECB credentials reveals information about PECB examination content, they violate the PECB Code of Ethics. PECB will take action against individuals who violate PECB Policies and the Code of Ethics. Actions taken may include permanently barring individuals from pursuing PECB credentials and revoking certifications from those who have been awarded the credential. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property rights.

SAMPLE EXAM QUESTIONS AND POSSIBLE ANSWERS

1. Interpretation of OHSAS clauses

For each of the following clauses of OHSAS 18001, please provide at least two different evidences that would be acceptable to ensure conformity to the clause.

Clause 4.5.5 Internal audit:

Possible answer:

- *Evidences of a planned, established, implemented and maintained audit programme*
- *Evidences of a planned, established, implemented and maintained audit procedure*

2. Recommendations

The organization's management would like you to provide recommendations to improve the processes in place to comply with the requirements of OHSAS 18001 on control of documents.

Possible answer:

1. *Document and implement a procedure for the control of documents.*
2. *Maintain a log for document changes with records of the approvals.*
3. *Communicate the new process and organize training sessions.*