



ISO/IEC 42001 Certification Scheme

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1 Purpose and summary

This document specifies the ISO/IEC 42001 certification schemes of PECB in compliance with the ISO/IEC 17024:2012 standard (Conformity assessment — General Requirements for bodies operating certification of persons).

The following ISO/IEC 42001 Certifications are covered:

- ISO/IEC 42001 Lead Auditor
- ISO/IEC 42001 Lead Implementer

The PECB Certification Schemes are reviewed and validated by the General Scheme Advisory Board, which acts as the governing board for certification.

1.1 ISO/IEC 42001 Lead Auditor Certification

The “ISO/IEC 42001 Lead Auditor” credential is a professional certification for individuals aiming to demonstrate the competence to audit the artificial intelligence management system and lead an audit team.

ISO/IEC 42001 specifies the requirements for establishing, implementing, maintaining, and continually improving an artificial intelligence management system (AIMS). In addition to the implementation of the AIMS, organizations need assurance that the AI systems, controls, and processes they have implemented produce the intended results. Auditing enables organizations to evaluate the effectiveness of the AIMS in place and further improve it.

The ISO/IEC 42001 Lead Auditor certification is intended for:

- Individuals with a background in auditing, whether internal or external, seeking to specialize in auditing AI management system
- Managers or consultants seeking to master the AI management system audit process
- Individuals responsible for maintaining conformity with the AI management system requirements in an organization
- Expert advisors in AI management
- Professionals involved in analyzing and understanding business requirements for AI implementation
- Individuals involved in the development and implementation of AI solutions and in designing the architecture of AI systems

1.2 ISO/IEC 42001 Lead Implementer Certification

The “ISO/IEC 42001 Lead Implementer” credential is a professional certification for individuals aiming to demonstrate competence in implementing an AIMS and leading an implementation team.

ISO/IEC 42001 specifies the requirements for establishing, implementing, maintaining, and continually improving an artificial intelligence management system (AIMS). In addition to the implementation of the AIMS, organizations need assurance that the AI systems, controls, and processes they have implemented produce the intended results. Auditing enables organizations to evaluate the effectiveness of the AIMS in place and further improve it.

The ISO/IEC 42001 Lead Implementer certification is intended for:

- Professionals responsible for overseeing and managing AI projects
- Consultants advising on AI implementation strategies
- Expert advisors and specialists aiming to master the practical implementation of an AIMS in accordance with ISO/IEC 42001
- Individuals responsible for maintaining conformity with the ISO/IEC 42001 requirements in an organization
- Members of AIMS implementation teams
- Executives and managers seeking to make informed decisions regarding AI implementation



2 ISO/IEC 42001 Certification marks

PECB has registered the following trademarks:

- PECB Certification Marks

Applicants who get certified by PECB are entitled to use the appropriate designation. PECB uses and authorizes as equivalent the following designations:

- PECB Certified ISO/IEC 42001 Lead Auditor
- PECB Certified ISO/IEC 42001 Lead Implementer

They can download their certificate, as well as claim their digital badge from their dashboard. For more information about downloading the certificate and claiming the Digital Badge, click [here](#).

3 Objectives, domains and skills related to the certification scheme

Based on the main required skills for each job category and survey results, the JTA panel proposed the following credentials and the competency domains (objectives, competencies and knowledge statements).

3.1 ISO/IEC 42001 Lead Auditor Certification

Based upon the previously described job/task analysis, ISO 19011:2018, and best practices (including, but not limited to, the International Personnel Certification Association (IPC), the American Society for Quality (ASQ), and the European Organization for Quality (EOQ) in the field, related with the ISO/IEC 42001 standard, 7 different domains are defined. For each of these domains the competencies and skills are listed below, which form the basis for a candidate to show compliance to the objectives for that domain.

These domains are:

- **Domain 1:** Fundamental principles and concepts of an AI management system
- **Domain 2:** AI management system requirements
- **Domain 3:** Fundamental audit concepts and principles
- **Domain 4:** Preparing an ISO/IEC 42001 audit
- **Domain 5:** Conducting an ISO/IEC 42001 audit
- **Domain 6:** Closing an ISO/IEC 42001 audit
- **Domain 7:** Managing an ISO/IEC 42001 audit program

Domain 1: Fundamental principles and concepts of an AI management system

Main objective: Ensure that the candidate is able to explain and apply the principles and concepts of artificial intelligence and AIMS based on ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to recognize the scope and diversity of management system standards developed by ISO 2. Ability to describe the ISO/IEC 42001 scope 3. Ability to distinguish between the roles of various interested parties involved in the certification process (e.g., certification bodies, accreditation bodies, etc.) 4. Ability to discuss the relation between ISO/IEC 42001 and other ISO standards and regulatory frameworks 5. Ability to explain the main concepts of the artificial intelligence 6. Ability to differentiate between various subfields of artificial intelligence, including machine learning, deep learning, and neural networks 7. Ability to analyze and interpret the stages and high-level processes of the AI system life cycle 8. Ability to apply the principles of AI system life cycle management to effectively plan, develop, deploy, and maintain AI systems throughout their evolution	1. Knowledge of the main objectives and structure of ISO standards related to artificial intelligence 2. Knowledge of the ISO/IEC 42001 scope 3. Knowledge of the role of certification bodies, accreditation bodies, and certification schemes in verifying compliance with ISO/IEC 42001 4. Knowledge of the main concepts of artificial intelligence 5. Knowledge of the fundamental concepts of machine learning, deep learning, and neural networks 6. Knowledge of the essential concepts of cognitive computing, semantic computing, and soft computing 7. Knowledge of the iterative nature of the AI system life cycle 8. Knowledge of ethical principles and guidelines relevant to AI development and deployment

Domain 2: AI management system requirements

Main objective: Ensure that the candidate is able to identify and explain the requirements for an AI management system based on ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to explain the structure of the ISO/IEC 42001	1. Knowledge of the terminology and definitions utilized within ISO/IEC 42001
2. Ability to identify the components of an AI management system	2. Knowledge of the overall structure of ISO/IEC 42001 and its main requirements
3. Ability to distinguish, interpret, and analyze the requirements of ISO/IEC 42001	3. Knowledge of the requirements outlined in clauses 4 to 10 of ISO/IEC 42001
4. Ability to provide an overview of Annexes A, B, C, and D of ISO/IEC 42001	4. Knowledge of the objectives of Annexes A, B, C, and D of ISO/IEC 42001
	5. Knowledge of the process approach outlined in ISO/IEC 42001, including its application to the development, implementation, maintenance, and continual improvement of an AI management system

Domain 3: Fundamental audit concepts and principles

Main objective: Ensure that the candidate is able to interpret and apply the main concepts and principles related to an AIMS audit.

Competencies	Knowledge statements
1. Ability to explain and apply the audit principles in an AIMS audit	1. Knowledge of the main audit concepts and principles as described in ISO 19011
2. Ability to differentiate between first, second, and third party audits	2. Knowledge of the differences between first, second, and third party audits
3. Ability to identify and analyze situations that would discredit the professionalism of the auditor	3. Knowledge of the principles of auditing: integrity, fair presentation, due professional care, confidentiality, independence, evidence-based approach, and risk-based approach
4. Ability to identify and explain ethical issues considering regulatory requirements and the obligations related to the audit client	4. Knowledge of an auditor's professional responsibility
5. Ability to describe the trends and technologies that can impact the audit procedures	5. Knowledge of complementary technologies that can be used in conjunction with AI to enhance audit procedures
6. Ability to determine and evaluate the level of materiality and apply a risk-based approach during the different stages of an AIMS audit	6. Knowledge of evidence-based auditing and types of audit evidence
7. Ability to consider and assess the legal implications related to any irregularities committed by the auditee	7. Knowledge of the risk-based approach to an audit and the different types of risks related to audit activities, such as inherent risk, control risk, and detection risk
8. Ability to identify the appropriate level of reasonable assurance needed for an AIMS audit	8. Knowledge of the concept of materiality and its application to an audit
9. Ability to integrate AI technologies to streamline and improve the audit process	9. Knowledge of the concept of reasonable assurance and its application to an audit

Domain 4: Preparing an ISO/IEC 42001 audit

Main objective: Ensure that the candidate is able to prepare an AI management system audit.

Competencies	Knowledge statements
1. Ability to describe and undertake the necessary steps and activities for preparing an AIMS audit, considering the specific context of the audit 2. Ability to define and explain the roles and responsibilities of the audit team leader, audit team members, and technical experts 3. Ability to determine the audit feasibility 4. Ability to determine, evaluate, and confirm the audit objectives, criteria, and scope for an AIMS audit 5. Ability to define and explain the characteristics of the terms of the audit engagement and apply the best practices to establish the initial contact with an auditee	1. Knowledge of the main responsibilities of the audit team leader and audit team members 2. Knowledge of the roles and responsibilities of technical experts 3. Knowledge of the audit objectives, scope, and criteria 4. Knowledge of the difference between an AIMS scope and the audit scope 5. Knowledge of the factors that should be considered when determining the audit feasibility 6. Knowledge of the characteristics of terms of the audit engagement and the best practices to establish initial contact with an auditee

Domain 5: Conducting an ISO/IEC 42001 audit

Main objective: Ensure that the candidate is able to conduct an AIMS audit.

Competencies	Knowledge statements
1. Ability to conduct the stage 1 audit, taking into account the documented information evaluation criteria 2. Ability to organize and conduct an opening meeting 3. Ability to conduct the stage 2 audit by appropriately following the procedures that this stage entails 4. Ability to apply best practices for effective communication while gathering the audit evidence 5. Ability to explain and apply evidence collection procedures and tools 6. Ability to describe and apply the main audit sampling methods 7. Ability to gather the necessary evidence during an audit and evaluate it objectively 8. Ability to develop audit working papers and elaborate appropriate audit test plans in an AIMS audit 9. Ability to explain and apply the concept of the benefit of the doubt	1. Knowledge of the purpose and focus of the opening meeting in an audit 2. Knowledge of the differences between the stage 1 audit and stage 2 audit 3. Knowledge of stage 1 and stage 2 audit requirements, steps, and activities 4. Knowledge of best practices for effective communication during an audit 5. Knowledge of evidence collection procedures and tools, such as interview, documented information review, observation, analysis, sampling, and technical verification 6. Knowledge of the evidence analysis techniques (corroboration and evaluation) 7. Knowledge of the main evidence collection procedures used during an audit 8. Knowledge of the best practices for the creation of audit test plans 9. Knowledge of the roles and responsibilities of guides and observers during an audit 10. Knowledge of the documented information evaluation criteria and ISO/IEC 42001 requirements 11. Knowledge of the principle of the “benefit of the doubt” and its application in management system audits

Domain 6: Closing an ISO/IEC 42001 audit

Main objective: Ensure that the candidate is able to conclude an AIMS audit and conduct audit follow-up activities.

Competencies	Knowledge statements
1. Ability to review the audit findings against the audit objectives and criteria	1. Knowledge of the audit findings evaluation process
2. Ability to organize and conduct a closing meeting	2. Knowledge of ISO/IEC 17021-1 requirements for organizing and conducting a closing meeting
3. Ability to draft and present audit conclusions	3. Knowledge of best practices for drafting and presenting audit conclusions
4. Ability to prepare an audit report in accordance with ISO/IEC 17021-1 requirements	4. Knowledge of the ISO/IEC 17021-1 requirements for the preparation and content of the audit report
5. Ability to evaluate action plans	5. Knowledge of best practices for evaluating action plans
6. Ability to protect the integrity, availability, and confidentiality of audit records	6. Knowledge of the importance of protecting the integrity, availability, and confidentiality of audit records
7. Ability to conduct quality reviews to audit documentation	7. Knowledge of best practices for completing audit working documents and performing quality reviews

Domain 7: Managing an ISO/IEC 42001 audit program

Main objective: Ensure that the candidate is able to establish and manage an AIMS audit program.

Competencies	Knowledge statements
1. Ability to conduct the activities following an initial audit, including audit follow-ups and surveillance activities 2. Ability to establish an audit program based on the PDCA model 3. Ability to evaluate the effectiveness of the audit program and monitor the performance of the audit team 4. Ability to plan and manage the certification process efficiently 5. Ability to ensure compliance with trademark usage regulations	1. Knowledge of audit follow-ups, surveillance audits, and recertification audit requirements, steps, and activities 2. Knowledge of the application of the PDCA model in the management of an audit program 3. Knowledge of the requirements, guidelines, and best practices regarding the management of audit records 4. Knowledge of combined audits 5. Knowledge of the certification cycle process 6. Knowledge of trademark usage requirements

3.2 ISO/IEC 42001 Lead Implementer Certification

Based upon the job/task analysis and related with the ISO/IEC 42001 standard and best practices in project management, 6 different domains are defined. For each of these domains the competencies and skills are listed that form the basis for a candidate to show compliance to the objectives for that domain.

These domains are:

- **Domain 1:** Fundamental principles and concepts of an artificial intelligence management system
- **Domain 2:** Artificial intelligence management system
- **Domain 3:** Planning of an AIMS implementation based on ISO/IEC 42001
- **Domain 4:** Implementation of an AIMS based on ISO/IEC 42001
- **Domain 5:** Monitoring and measurement of an AIMS based on ISO/IEC 42001
- **Domain 6:** Continual improvement and preparation for an AIMS certification audit

Domain 1: Fundamental principles and concepts of an artificial intelligence management system

Main objective: Ensure that the candidate is able to interpret the fundamental principles and concepts of artificial intelligence.

Competencies	Knowledge statements
1. Ability to explain the functions and purpose of ISO 2. Ability to discuss the relationship between ISO/IEC 42001 and other ISO standards and regulatory frameworks 3. Ability to describe the history and evolution of artificial intelligence 4. Ability to explain the main concepts of artificial intelligence 5. Ability to differentiate between various subfields of artificial intelligence, including machine learning, deep learning, and neural networks 6. Ability to recognize and describe the unique features of AI systems 7. Ability to classify AI systems based on their level of risk 8. Ability to analyze the interactions between different components of an AI system and their impact on the system's functionality and performance	1. Knowledge regarding ISO 2. Knowledge of the main objectives and structure of ISO standards related to artificial intelligence 3. Knowledge of the historical development of artificial intelligence 4. Knowledge of the main concepts of artificial intelligence and their application 5. Knowledge of the fundamental concepts of machine learning, deep learning, and neural networks 6. Knowledge of the essential concepts of cognitive computing, semantic computing, and soft computing 7. Knowledge of the EU's classification system for categorizing AI systems based on their risk level 8. Knowledge of distinct features exhibited by AI systems 9. Knowledge of the main terminology and concepts of ISO/IEC 22989

Domain 2: Artificial intelligence management system

Main objective: Ensure that the candidate is able to identify and explain the main requirements for an artificial intelligence management system based on ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to explain the scope of management system standards developed by ISO	1. Knowledge of the extensive scope of ISO publications
2. Ability to describe the structure of ISO management system standards	2. Knowledge of the structure and organization of ISO management system standards
3. Ability to articulate the definition and purpose of an AIMS	3. Knowledge of the impact that an AIMS can bring
4. Ability to interpret and explain the structure of ISO/IEC 42001, including its main clauses and their subclauses	4. Knowledge of the overall structure of ISO/IEC 42001 and its main requirements
5. Ability to provide an overview of Annexes A, B, C, and D of ISO/IEC 42001	5. Knowledge of the objectives of Annexes A, B, C, and D of ISO/IEC 42001
	6. Knowledge of the requirements outlined in clauses 4 to 10 of ISO/IEC 42001

Domain 3: Planning of an AIMS implementation based on ISO/IEC 42001

Main objective: Ensure that the candidate is able to plan the implementation of the AIMS based on ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to collect, analyze, and interpret the information required to plan an AIMS implementation	1. Knowledge of the main project management concepts, terminology, processes, and best practices
2. Ability to set AIMS objectives	2. Knowledge of the principal approaches and methodologies used to implement an AIMS
3. Ability to manage AIMS risks	3. Knowledge of typical AI risks that can arise after the implementation of an AIMS
4. Ability to analyze and consider the internal and external context of an organization	4. Knowledge of what typically constitutes an organization's internal and external context
5. Ability to identify the resources required for the AIMS implementation	5. Knowledge of the resources needed for the AIMS implementation
6. Ability to manage, estimate, and monitor the required resources for the AIMS implementation	6. Knowledge of the techniques used to manage and monitor the AIMS implementation resources
7. Ability to identify the roles and responsibilities of key interested parties during and after the implementation and operation of an AIMS	7. Knowledge of the impact that each interested party has during and after the implementation of an AIMS
8. Ability to draft, file, and review an AIMS project plan	8. Knowledge of the structure of an AIMS project plan
9. Ability to perform a gap analysis and clarify the artificial intelligence management objectives	9. Knowledge of the gap analysis process
10. Ability to develop and establish an AIMS policy	10. Knowledge of the best practices and techniques used to draft and establish AI policies and procedures
11. Ability to perform the different steps of the risk assessment process	11. Knowledge of the different risk assessment approaches and methodologies
12. Ability to explain and draft the Statement of Applicability	12. Knowledge of the characteristics of the Statement of Applicability

Domain 4: Implementation of an AIMS based on ISO/IEC 42001

Main objective: Ensure that the candidate is able to implement an AIMS based on the requirements of ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to analyze the AI landscape within the organization 2. Ability to design and implement AI controls effectively 3. Ability to define, design, and implement the necessary processes for the operation of an AIMS and properly document them 4. Ability to define the documentation and record management processes needed to support the implementation and operations of an AIMS 5. Ability to establish an AIMS communication strategy 6. Ability to define and establish appropriate AI training and awareness programs and communication plans 7. Ability to plan and manage AI operations, including change management and resource allocation 8. Ability to engage with interested parties effectively in support of the AIMS	1. Knowledge of the components and technologies comprising the AI landscape 2. Knowledge of the steps involved in preparing for the implementation of AI controls 3. Knowledge of the AIMS implementation process 4. Knowledge of proper documentation and management methods for the effective implementation of an AIMS 5. Knowledge of the communication objectives and activities 6. Knowledge of the characteristics and best practices for establishing AI training and awareness programs 7. Knowledge of the steps and strategies to effectively manage AI operations 8. Knowledge of the communication objectives, activities, and interested parties to enhance their support and confidence

Domain 5: Monitoring and measurement of an AIMS based on ISO/IEC 42001

Main objective: Ensure that the candidate is able to evaluate, monitor, and measure the performance of an AIMS.

Competencies	Knowledge statements
1. Ability to monitor and evaluate the effectiveness of an AIMS 2. Ability to determine to what extent the identified AIMS objectives have been met 3. Ability to define and implement an AIMS internal audit program 4. Ability to perform regular reviews to ensure the suitability, adequacy, effectiveness, and efficiency of an AIMS based on the policies and objectives of the organization 5. Ability to define a management review process and conduct management reviews at planned intervals 6. Ability to identify nonconformities and draft a nonconformity report	1. Knowledge of the best practices and techniques used to monitor and evaluate the effectiveness of an AIMS 2. Knowledge of the concepts related to measurement and evaluation of AIMS objectives 3. Knowledge of the main concepts and components related to the implementation and operation of an AIMS internal audit program 4. Knowledge of the AIMS metrics 5. Knowledge of the best practices used to perform management reviews 6. Knowledge of the difference between major and minor nonconformities 7. Knowledge of the guidelines and best practices to draft a nonconformity report

Domain 6: Continual improvement and preparation for an AIMS certification audit

Main objective: Ensure that the candidate possesses the capabilities to offer guidance for the continual improvement of an AIMS and to prepare an organization for an AIMS certification audit.

Competencies	Knowledge statements
1. Ability to identify and analyze the root causes of nonconformities and propose action plans to treat them	1. Knowledge of the main processes, tools, and techniques used to identify the root causes of nonconformities
2. Ability to track and take action on nonconformities	2. Knowledge of nonconformity treatment processes
3. Ability to counsel an organization on how to continually improve the effectiveness and efficiency of an AIMS	3. Knowledge of continual improvement processes and activities
4. Ability to implement continual improvement processes in an organization	4. Knowledge of the main concepts related to continual improvement
5. Ability to describe the main steps, processes, and activities related to the ISO/IEC 42001 certification audit	5. Knowledge of the intricacies of an ISO/IEC 42001 certification audit
6. Ability to counsel an organization to identify and select a certification body that meets its expectations	6. Knowledge of the factors for selecting an appropriate certification body
7. Ability to define the differences between the stages of an audit process	7. Knowledge of the stage 1 and stage 2 audit requirements, steps, and activities
8. Ability to train and prepare an organization's personnel for the ISO/IEC 42001 certification audit	8. Knowledge of the audit follow-up requirements, steps, and activities
	9. Knowledge of best practices in the training of an organization's personnel regarding an ISO/IEC 42001 certification audit

4 ISO/IEC 42001 Examination Development

The test specifications are presented in the table below.

4.1 ISO/IEC 42001 Lead Auditor

Based on the abovementioned domains and their relevance, 80 questions are included in the exam, as summarized in the table below:

				Level of understanding (Cognitive/Taxonomy) required	
		Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain	Questions that measure comprehension, application, and analysis	Questions that measure evaluation
Competency domains	Fundamental principles and concepts of an AI management system	12	15	X	
	AI management system requirements	8	10	X	
	Fundamental audit concepts and principles	16	20		X
	Preparing for an ISO/IEC 42001 audit	9	11.25	X	
	Conducting an ISO/IEC 42001 audit	19	23.75		X
	Closing an ISO/IEC 42001 audit	7	8.75	X	
	Managing an ISO/IEC 42001 audit program	9	11.25		X
Total		80	100%		
Number of questions per level of understanding				36	44
% of the exam devoted to each level of understanding (cognitive/taxonomy)				45%	55%

The passing score of the exam is **70%**. After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO/IEC 42001 Lead Auditor” credential depending on their level of experience.

4.2 ISO/IEC 42001 Lead Implementer

Based on the abovementioned domains and their relevance, 80 questions are included in the exam, as summarized in the table below:

		Level of understanding (Cognitive/Taxonomy) required			
		Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain	Questions that measure comprehension, application, and analysis	Questions that measure evaluation
Competency domains	Fundamental principles and concepts of an artificial intelligence management system	17	21.25	X	
	Artificial intelligence management system	5	6.25	X	
	Planning of an AIMS implementation based on ISO/IEC 42001	20	25		X
	Implementation of an AIMS based on ISO/IEC 42001	18	22.5		X
	Monitoring and measurement of an AIMS based on ISO/IEC 42001	10	12.5	X	
	Continual improvement and preparation for an AIMS certification audit	10	12.5		X
Total		80	100%		
Number of questions per level of understanding				32	48
% of the exam devoted to each level of understanding (cognitive/taxonomy)				40%	60%

The passing score of the exam is **70%**.

After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO/IEC 42001 Lead Implementer” credential depending on their level of experience.

5 Certification schemes requirements

With the input gathered in the previous chapters, the different PECB Certification Schemes are defined in the following sections.

5.1 Requirements for certification

5.1.1 General requirements

In general, the requirements for any ISO/IEC 42001 certification are:

- Having successfully passed the appropriate PECB certification examination
- Having demonstrated sufficient and relevant professional experience
- Having indicated at least two referrals in their application form
- Having fulfilled all other requirements
- Having paid all certification application fees

The detailed requirements for each of the different grades are listed below.

5.1.2 ISO/IEC 42001 Lead Auditor Certification

Exam: PECB Certified ISO/IEC 42001 Lead Auditor Exam or equivalent

Candidates must pass a comprehensive examination consisting of development questions exam covering 7 domains of the audit of an Artificial Intelligence Management.

Professional experience:

The minimum professional experience required for Lead Auditor is:

- Five years of professional experience in total of which
- Two years of work experience in Artificial Intelligence Management

MS audit/assessment experience: Audit activities: 300 hours

Other requirements: Signing the PECB Code of Ethics

Credential	Exam	Professional experience	MS audit/ assessment experience	Other requirements
PECB Certified ISO/IEC 42001 Lead Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Five years: Two years of work experience in AI management	Audit activities: a total of 300 hours	Signing the PECB Code of Ethics

5.1.3 ISO/IEC 42001 Lead Implementer Certification

Exam: PECB Certified ISO/IEC 42001 Lead Implementer Exam or equivalent



Candidates must pass a comprehensive examination consisting of development questions exam covering 6 domains of the implementation of an Artificial Intelligence Management.

Professional experience:

The minimum professional experience required for Lead Implementer is:

- Five years of professional experience in total of which
- Two years of work experience in Artificial Intelligence Management

AIMS project experience: Project activities: 300 hours

Other requirements: Signing the PECB Code of Ethics

Credential	Exam	Professional experience	AIMS project experience	Other requirements
PECB Certified ISO/IEC 42001 Lead Implementer	PECB Certified ISO/IEC 42001 Lead Implementer exam or equivalent	Five years: Two years of work experience in AI management	Project activities: a total of 300 hours	Signing the PECB Code of Ethics



5.2 Examination methods and evaluation process

Passing the Exam:

PECB will organize two different exams for the grades defined previously. These are:

1. The PECB Certified ISO/IEC 42001 Lead Auditor Exam
2. The PECB Certified ISO/IEC 42001 Lead Implementer Exam

The PECB Certified ISO/IEC 42001 Lead Auditor Exam is a 3h exam. The exam questions are relevant and sufficient and cover all domains defined for the “ISO/IEC 42001 Lead Auditor” Certification. The exam format is in multiple-choice exam.

The PECB Certified ISO/IEC 42001 Lead Implementer Exam is a 3h exam. The exam questions are relevant and sufficient and cover all domains defined for the “ISO/IEC 42001 Lead Implementer” Certification. The exam format is in multiple-choice exam.

A minimum score of 70% is required to pass the PECB Certified ISO/IEC 42001 Lead Auditor Exam

A minimum score of 70% is required to pass the PECB Certified ISO/IEC 42001 Lead Implementer Exam

5.3 Certification evaluation process

Examination: Candidate needs to pass the respective exam.

Professional experience: Candidates are required to add information about work experience by attaching a CV, and adding two references.

Professional experience is validated by requiring the applicant to indicate in the application form the following information for each employer:

1. Date started
2. End date (if applicable)
3. Business name
4. Business address
5. Project name
6. Reference position
7. Reference name
8. Reference email
9. Reference phone number
10. Reference job title
11. Reference hours
12. Experience details

MS audit/assessment experience: The applicant’s application and resume will be checked to ensure that the applicant has the minimal required number of audit-hours.

These audits should follow best audit practices and include the following activities:

1. Planning an audit
2. Managing an audit program



3. Drafting audit reports
4. Drafting nonconformity reports
5. Drafting audit working documents
6. Documented information review
7. On-site audit
8. Following up on nonconformities
9. Leading an audit team

AIMS project experience: The applicant's application and resume will be checked to ensure that the applicant has the minimal required number of implementation-hours.

These implementation activities should follow best implementation practices and include the following activities:

- Development of AI-powered solutions
- Design of AI-based systems
- Management of AI project portfolios
- Leading AI innovation teams
- Development of AI strategy and roadmap
- Implementation of AI governance and compliance programs
- Design of AI-based data pipelines
- Implementation of AI-powered business intelligence solutions
- Development and deployment of AI-powered cybersecurity solutions
- Development and implementation of AI-powered autonomous systems
- Management and design of AI-based predictive analytics
- Development of machine learning models
- Training and deployment of language learning models
- Implementation of natural language processing (NLP) solutions
- Development of sentiment analysis and text classification models

Other requirements: The documents provided by the candidate will be checked. Candidates will need to read and agree with the Certification Rules and Polices, Certification Maintenance Policy, and PECB Code of Ethics.

5.4 Equivalencies clause requirements

PECB does accept certifications and exams provided from other recognized accredited certification bodies. PECB will evaluate the requests through its equivalency process to decide whether the respective certification(s) and/or exam(s) can be accepted as equivalent to the respective PECB Certificate (ex. ISO/IEC 42001 Lead Auditor Certificate).

The Certification Department verifies the provided information for certificates, as to whether an individual holds a current valid certification from an accredited and recognized body.

5.5 Requirements for recertification

5.5.1 Validity period of PECB certifications

PECB certifications are valid for three years. In order to maintain a certificate, PECB Certified Professionals are encouraged to demonstrate that they are performing certification related activities on an annual basis, by submitting Continuing Professional Development (CPD) credits. In addition, PECB Professionals are required to pay maintenance fee, which PECB encourages to pay on an annual basis (Annual Maintenance Fee).

PECB Certified Professional will need to provide PECB with the required hours of auditing and/or implementing related tasks they have performed, including the contact details of the individuals who can validate these tasks.

The annual reporting begins with the initial certificate date; however, the maintenance fee for the first year is included in the certification application payment.

PECB continuously notifies each PECB Professional to maintain their certificate(s). The notifications are sent several times throughout the certification cycle. Disregarding if CPDs and maintenance fees are reported/paid annually or not, all required CPDs/AMFs must be submitted/paid in full, before the end of the three-year certification cycle in order for the certification to be eligible for renewal.

5.5.2 Certification renewal process

To be able to renew a certificate, PECB Professionals will need to demonstrate that they have fulfilled the certification maintenance requirements within the three-year certification cycle. Certified Professionals are encouraged to complete CPD activities each year; however, the total required CPD hours must be achieved within the three-year certification cycle (see Appendix 1).

For example, a PECB Professional that holds a Lead Certificate has performed 20 hours of certification-related activities in year 1; 10 hours in year 2 and 60 hours in year 3. Although during the first and second year he/she did not perform sufficient certification-related activities, his/her tri-annual total is equal to the minimal tri-annual requirements. In this case, he/she fulfills the requirements to get recertified.

After three years of successful maintenance of a PECB Certificate, you can apply for a renewal of your certificate.

PECB certificate(s) can be renewed online through the PECB Member Dashboard by reporting CPDs and paying the AMF. PECB professionals can submit CPDs and AMF by clicking the respective icons under the CPD and AMF tabs in their MyPECB account at mypecb.com.

Note: Reduction of certification scope is not applicable. When the recertification requirements are not met, the certification will result in a 12-month suspension period, during which the candidate can address any outstanding AMFs and CPDs. If the candidate fails to fulfill these requirements within the suspension period, PECB may revoke (withdraw) the certification.



5.5.3 Reporting CPD and Paying AMF

Reporting of CPDs

PECB Certified Professionals will need to provide PECB with the required hours of auditing and/or implementation related tasks they have performed, including the contact details of the individuals who can validate these tasks.

Certified professionals can update their CPD credits at any time by logging in to mypecb.com.

Note: On their MyPECB account, PECB professionals will see their certificates. To submit CPDs, they should click on the **CPD** icon next to the corresponding certificate and complete the submission process.

Payment of AMF

To submit the AMF, PECB professionals can log in to their dashboard at mypecb.com. They will see their certificates on the dashboard menu. Click on the **money** icon next to the relevant certificate to complete the AMF payment.

PECB continuously notifies each PECB Professional to maintain their certificate(s). The notifications are sent several times throughout the certification cycle. The first one is sent three months before your annual certificate issuance date, which based on the example above would be 2024-10-15. In this case, the payment of AMF would be due by 2025-04-15 (three months after the annual certificate issuance date).

For more information, go to the [Certification Maintenance](#) page on the PECB website.

5.5.4 Upgrade

PECB Professionals can apply for a higher credential once they provide evidence that proves that they fulfill the requirements of the higher credential.

PECB certifications can be upgraded online through the dashboard. PECB professionals can log in to their PECB account, open “View Certificate” for the certification they want to upgrade, and click the “Upgrade” button. For more information about the upgrade fee, go to the [Certification Maintenance](#) page on the PECB website.

Note: *An evaluation will be done to determine if an exam is required prior to obtain an upgraded certification.*

5.5.5 Suspension

Failure to submit the CPD and AMF payment during the certification cycle will result in a 12-month suspension period, during which you can address any outstanding AMFs and CPDs.

Additional reasons for suspension can be if:

- PECB receives excessive or serious complaints by interested parties (Suspension will be applied until the investigation has been completed).
- The logos of PECB or accreditation bodies are willfully misused.
- The candidate fails to correct the misuse of a certification mark within the determined time by PECB.
- The certified individual has voluntarily requested a suspension.
- PECB deems appropriate other conditions for suspension of certification/certificate program.

Individuals whose certification has been suspended, are not authorized to further promote their certification while it is suspended.



A suspended certification can either be:

- Reinstated — if reasons for suspension are corrected within the given time frame by PECB
- Revoked — if reasons for suspension are not corrected within the given time frame by PECB

Suspended members must remediate their suspension within a maximum period of 12 months.

5.5.6 Revocation

PECB can revoke (that is, to withdraw) certification if the candidate fails to address the outstanding AMFs and CPDs during the 12-month suspension period. Candidates are then no longer allowed to represent themselves as PECB certified professionals. Additional reasons can be if candidates:

- Violate the PECB Code of Ethics
- Misrepresent and provide false information of the scope of the certification/certificate program
- Break any other PECB rules
- Any other reasons that PECB deems appropriate

Individuals whose certification has been revoked, are not authorized to use any references to a certified status.

Individuals whose certification has been revoked may file an appeal by following the complaint and appeal process ([Complaint and Appeal Policy - PECB](#)).

Appendix 1 - Certification Maintenance Requirements

Certification	Activities	3-Year/Total CPD hours
Foundation, Provisional, and Transition	None	None
Implementer	Hours of project experience, implementation or consulting-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
Auditor, Assessor	Hours of audit or assessment-related experience, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
EBIOS, MEHARI	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
Six Sigma Green Belt	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
Lead Implementer	Hours of project experience, implementation, or consulting-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
Senior Lead Implementer	Hours of project experience, implementation, or consulting-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	180 hours
Lead Auditor, Lead Assessor	Hours of auditing or assessment-related experience, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
Senior Lead Auditor	Hours of auditing or assessment-related experience, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	180 hours
Lead Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours

Senior Lead Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	180 hours
Risk Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	60 hours
Senior Risk Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	180 hours
Lead Risk Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
Senior Lead Risk Manager	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	180 hours
CLFE	Hours of project experience related to certification field, assessment-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
CLPI	Hours of project experience, implementation, or consulting-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
CDPO	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
CLSIP	Hours of project experience related to the certification field, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	90 hours
Master	Hours of implementation, management, or auditing-related tasks, training, private study, coaching, attendance of seminars and conferences, or other relevant activities	270 hours

6 Revision History

Version	Change description	Date
1.0	Initial release	2024-12-17
1.1	Reviewed by CD-CD: - Updated the links in Chapter 3 - Updated the wording in section 7.5.2, 7.5.3, 7.5.5, 7.5.6, 7.5.7	2025-10-20
1.2	Reviewed by CD: - Updated process flowchart - Updated certification maintenance part - Updated owner and approver	2026-07-06