



PECB

Candidate Handbook

**ISO/IEC 42001
LEAD AUDITOR**

Contents

SECTION I: INTRODUCTION.....	3
About PECB.....	3
Accreditations and Affiliations	3
PECB Code of Ethics.....	3
Introduction to ISO/IEC 42001 Lead Auditor Certification	4
SECTION II: EXAM PROCESS, RULES AND POLICIES	5
Preparing For and Scheduling the Exam.....	5
Special Accommodations.....	5
Taking the Exam.....	5
Exam Results.....	6
Exam Retake Policy.....	6
Exam Security Policy	6
Exam Competency Domains	7
Sample Exam Questions.....	15
SECTION III: CERTIFICATION PROCESS, RULES AND POLICIES	17
PECB ISO/IEC 42001 Lead Auditor Credentials.....	17
Applying for Certification	17
Professional Experience	18
Professional References	18
Audit Experience	18
Evaluation of Certification Applications.....	18
SECTION IV: CERTIFICATION MAINTENANCE POLICY	18
Renewing the Certification	19
Upgrade Credentials.....	19
Suspension of Certification	19
Revocation of Certification.....	19
Other Statuses.....	19
SECTION V: OTHER POLICIES	20
Application Fees for Examination and Certification	20
Complaint and Appeal Policy	20
Exams from Other Accredited Certification Bodies.....	20
Refund Policy.....	20

SECTION I: INTRODUCTION

About PECB¹

PECB is a leading certification body dedicated to fostering digital trust through comprehensive education, certification, and certificate programs across various disciplines. We empower professionals to develop and demonstrate their competence in digital security and other areas of expertise by providing world-class certification programs that adhere to internationally recognized standards.

Vision: As the global leader in digital trust education and certification, our vision is to empower and inspire professionals by enhancing their skills and fostering their professional success.

Mission: Our mission is to empower professionals with the knowledge and skills to protect their digital assets and ensure business continuity. Through our comprehensive programs, we aim to foster a secure digital ecosystem where innovation thrives and risks are managed effectively.

Values: Growth, Change, Harmony, Simplicity, Reliability, and Quality

Accreditations and Affiliations

At PECB, we are driven and culturally powered by a systemic process of continual improvement and professional development. As a testament to our high standards and commitment to providing quality services to our clients, PECB is accredited by a number of bodies and is a member of many professional organizations.

For detailed information on our accreditations and affiliations, click [here](#).

PECB Code of Ethics

The Code of Ethics is the set of values that PECB is committed to following, and defines the responsibilities of PECB professionals, including employees, trainers, examiners, invigilators, members of different committees, partners, distributors, certified individuals, and certificate holders. To read the PECB's Code of Ethics, click [here](#).

¹ Notes:

- The legal name of PECB is "PECB Group Pte. Ltd."
- PECB is an acronym that stands for "Professional Evaluation and Certification Board."
- Education (used in the first sentence of this page) refers to training courses developed by PECB, and offered globally through its network of partners.
- Certification refers to certification services provided according to ISO/IEC 17024. Certificate Program refers to certificate program services provided according to ANSI/ASTM E2659.
- "Certified" refers to ISO/IEC 17024 certifications' requirements and "Certificate holder" refers to ASTM E2659 certificate programs' requirements. Certificate holders are not certified, licensed, accredited, or registered to engage in a specific occupation or profession.

Introduction to ISO/IEC 42001 Lead Auditor Certification

This document specifies the PECB ISO/IEC 42001 Lead Auditor certification scheme in compliance with ISO/IEC 17024. It also outlines the steps that candidates should take to obtain and maintain their credentials. As such, it is very important to carefully read all the information included in this document before completing and submitting your certification application.

If you have questions or need further information after reading it, please contact support@pecb.com.

SECTION II: EXAM PROCESS, RULES AND POLICIES

For detailed and most up-to-date information, you are advised to refer to the online **Exam Rules and Policies** by clicking [here](#).

Preparing For and Scheduling the Exam

To schedule the exam, candidates have two options:

1. **Online:** Through the [PECB Exams application](#). To schedule a remote exam, please go to the following link: [Exam Events](#).
2. **Paper-based:** By contacting the PECB authorized partner that provided the training course. The partner arranges the date, time, and location where the candidate is going to attend the exam.

For any changes with regard to the exam date, time, location, or other details, please contact support@pecb.com.

Special Accommodations

To ensure equal opportunities for all qualified persons, PECB will make reasonable accommodations for candidates, when appropriate. If candidates need special accommodations because of special needs (dyslexia, dyspraxia, ADHD, vision impairment, but not limited to) and temporary conditions (pregnancy, surgery, postoperative recovery, but not limited to), they can apply for such arrangements through the [myPECB](#) dashboard/ Enroll for an Exam. Any information that candidates provide regarding their special needs will be treated with confidentiality.

Taking the Exam

Candidates are required to arrive/be present at least 30 minutes before the exam starts. Candidates who arrive late will not receive additional time to make up for the delay and may not be allowed to sit for the exam.

Candidates are required to bring a valid identity card (national ID card, driver's license, or passport) and show it to the invigilator.

Online Exam Rules	Paper-Based Exam Rules
• Exams are provided electronically via the PECB Exams application. • The use of secondary electronic devices, such as tablets and phones, is not allowed during the exam. • The exam session is supervised remotely by a PECB Invigilator via the PECB Exams application and an external/integrated camera. • If requested on the day of the exam, additional time can be provided to candidates taking the exam in a non-native language, as follows: – 10 additional minutes for Foundation exams – 20 additional minutes for Manager exams – 30 additional minutes for Lead exams	• Exams are provided on paper, where candidates are not allowed to use anything but the exam paper and a pen. • The use of electronic devices, such as laptops, tablets, or phones, is not allowed. • The exam session is supervised by a PECB approved Invigilator at the location where the Partner has organized the training course. • If requested on the day of the exam, additional time can be provided to candidates taking the exam in a non-native language, as follows: – 10 additional minutes for Foundation exams – 20 additional minutes for Manager exams – 30 additional minutes for Lead exams

For specific information on exam types, languages available, and other details, please check the [List of PECB Exams](#).

Exam Results

Exam results will be communicated via email.

- The time span for the communication of exam results starts from the exam date and lasts three to eight weeks for essay type exams and two to four weeks for multiple-choice paper-based exams.
- For online multiple-choice exams, candidates receive their results instantly.

Candidates who successfully complete the exam will be able to apply for one of the credentials of the respective certification scheme.

For candidates who fail the exam, a list of the domains where they have performed poorly will be added to the email to help them prepare better for a retake.

If candidates disagree with the evaluation, they may request a re-evaluation of their exam results within 30 days from the date they receive their exam results. If still not satisfied, they can file an appeal through the [PECB Ticketing System](#) within 30 days from the date they receive the re-evaluation decision. Appeals received after 30 days will not be processed. For more detailed information, please refer to the [Complaint and Appeal Policy](#).

Exam Retake Policy

There is no limit to the number of times a candidate can retake an exam. However, there are certain limitations in terms of the time span between exam retakes. For more information, please visit this link: [Exam Rules and Policies - PECB](#)

Exam Security Policy

A significant component of a professional certification credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certification holders and applicants to maintain the security and confidentiality of PECB exams.

Any disclosure of information about the content of PECB exams is a direct violation of PECB's Code of Ethics. PECB will take action against any individuals who violate such rules and policies, including permanently banning individuals from pursuing PECB credentials and revoking/invalidating any previous ones. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

Exam Competency Domains

The content of the exam is divided as follows:

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	1. Knowledge of the main objectives and structure of ISO standards related to artificial intelligence
2. Ability to describe the ISO/IEC 42001 scope	2. Knowledge of 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.)	3. Knowledge of the role of certification bodies, accreditation bodies, and certification schemes in verifying compliance with ISO/IEC 42001
4. Ability to discuss the relation between ISO/IEC 42001 and other ISO standards and regulatory frameworks	4. Knowledge of the main concepts of artificial intelligence
5. Ability to explain the main concepts of the artificial intelligence	5. Knowledge of the fundamental concepts of machine learning, deep learning, and neural networks
6. Ability to differentiate between various subfields of artificial intelligence, including machine learning, deep learning, and neural networks	6. Knowledge of the essential concepts of cognitive computing, semantic computing, and soft computing
7. Ability to analyze and interpret the stages and high-level processes of the AI system life cycle	7. Knowledge of the iterative nature 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	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	1. Knowledge of the main responsibilities of the audit team leader and audit team members
2. Ability to define and explain the roles and responsibilities of the audit team leader, audit team members, and technical experts	2. Knowledge of the roles and responsibilities of technical experts
3. Ability to determine the audit feasibility	3. Knowledge of the audit objectives, scope, and criteria
4. Ability to determine, evaluate, and confirm the audit objectives, criteria, and scope for an AIMS audit	4. Knowledge of the difference between an AIMS scope and the audit scope
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	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

Based on the above-mentioned domains and their relevance, the exam contains 80 multiple-choice questions, 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%**.

This exam comprises multiple-choice questions: The multiple-choice exam can be used to evaluate candidates' understanding of both simple and complex concepts. It comprises both stand-alone and scenario-based questions. Stand-alone questions stand independently within the exam and are not context-dependent, whereas scenario-based questions are context-dependent, i.e., they are developed based on a scenario that a candidate is asked to read and is expected to provide answers to five questions related to that scenario. When answering stand-alone and scenario-based questions, candidates will have to apply various concepts and principles explained during the training course, analyze problems, identify and evaluate alternatives, combine several concepts or ideas, etc.

Each multiple-choice question has three options, of which one is the correct response option (keyed response) and two incorrect response options (distractors).

This is an open-book exam. The candidate is allowed to use the following reference materials:

- A hard copy of the ISO/IEC 42001 standard
- Training course materials (accessed through the PECB Exams app and/or printed)
- Any personal notes taken during the training course (accessed through the PECB Exams app and/or printed)

A sample of exam questions will be provided below.

Sample Exam Questions

Company A, specializing in artificial intelligence (AI) solutions, is gearing up for its stage 1 audit as part of the ISO/IEC 42001 certification process. The audit aims to evaluate the company's AI management system (AIMS) against the ISO/IEC 42001 requirements. In preparation for the stage 1 audit, the audit team was formed, and John was appointed as the team leader. He was responsible for overseeing the audit process to its completion.

During the stage 1 audit, the audit team examined the documented information by first reviewing strategic documentation, including the documented information containing the scope, objectives, and policies, to understand *Company A*'s AI management system framework. Following this, the audit team looked into documentation related to risk management, analyzing how *Company A* identifies, assesses, and mitigates risks associated with its AI solutions. Subsequently, they examined the documentation of processes and procedures to determine whether *Company A* has established clear guidelines for implementing and managing its AI management system. Following this, the audit team assessed supporting procedures, such as worksheets and forms, to verify that these documents adequately support the implementation of AI-related processes.

Upon reviewing the documented information provided by *Company A*, the audit team noticed inconsistencies in the format of the AI policy and operational procedures. Some documents lacked essential details, such as version numbers and approval dates.

The audit team continued by evaluating the location and site-specific conditions, including obtaining information on security rules and observing the usage of personal protective equipment. However, they did not thoroughly assess all aspects of the auditee's technological infrastructure.

At the end of stage 1, the audit team verbally communicated the conclusions regarding the fulfillment of stage 1 objectives to *Company A*, highlighting areas of concern that could potentially lead to nonconformities during the stage 2 audit.

Based on this scenario, answer the following questions:

1. **Was the stage 1 audit conducted at the correct location?**
 - A. **Yes, as it was conducted at the auditee's premise**
 - B. No, as it should have been conducted remotely
 - C. No, as it should have been conducted at a neutral location due to potential conflicts of interest
2. **The audit team identified documented information that lacked essential details. If this issue is not addressed by the auditee in time for the stage 2 audit, what type of audit finding is this likely to be classified?**
 - A. Minor nonconformity
 - B. **Major nonconformity**
 - C. Opportunity for improvement

3. Did the audit team correctly handle the communication of stage 1 audit outputs?
 - A. Yes, as they communicated the conclusions to *Company A*
 - B. Yes, as verbal communication is sufficient for stage 1 audits
 - C. **No, they should have provided the conclusions in a written document**

4. Based on the activities taken by the audit team, can they effectively prepare the details of the audit, such as audit tools and test plans?
 - A. Yes, since they evaluated the location and site-specific conditions of the audit
 - B. No, as they did not make contact with the personnel of the auditee
 - C. **No, as they did not thoroughly assess all the aspects of the auditee's technological infrastructure**

5. Did the audit team use an appropriate approach to select the documented information to be analyzed?
 - A. **Yes, as they started by reviewing strategic documentation and then progressed to other relevant documents**
 - B. No, as they did assess the processes and procedures before examining the documentation related to risk management
 - C. No, as they did assess the processes and procedures before reviewing strategic documentation

SECTION III: CERTIFICATION PROCESS, RULES AND POLICIES

PECB ISO/IEC 42001 Lead Auditor Credentials

All PECB certifications have specific requirements regarding professional experience. To determine which credential is right for you, take into account your professional needs and analyze the criteria for the certifications.

The credentials in the PECB ISO/IEC 42001 Lead Auditor scheme have the following requirements:

Credential	Exam	Professional experience	AIMS audit/assessment experience	Other requirements
PECB Certified ISO/IEC 42001 Provisional Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO/IEC 42001 Auditor		Two years: One year of work experience in AI management	Audit activities: a total of 200 hours	
PECB Certified ISO/IEC 42001 Lead Auditor		Five years: Two years of work experience in AI management	Audit activities: a total of 300 hours	
PECB Certified ISO/IEC 42001 Senior Lead Auditor		Ten years: Seven years of work experience in AI management	Audit activities: a total of 1,000 hours	

To be considered valid, the audit activities should follow best audit practices and include the following:

1. Planning an audit
2. Managing an audit program
3. Drafting audit reports
4. Drafting nonconformity reports
5. Drafting audit working documents
6. Reviewing and managing documented information related to the audit
7. Conducting on-site audits
8. Following up on nonconformities
9. Leading an audit team

For detailed and most up-to-date information, you are advised to refer to the online **Certification Process** by clicking [here](#).

Applying for Certification

All participants who successfully pass their certification exam (or an equivalent accepted by PECB) are entitled to apply for the PECB credentials they were examined for. Specific professional requirements will need to be fulfilled to be PECB certified.

The application process is very simple and takes only a few minutes:

- [Create](#) your account
- Check your email for the confirmation link
- [Log in](#) and click on Apply for Certificate

The approval of the application occurs when the Certification Department validates that you fulfil all the certification requirements regarding the credential you have applied for. An email will be sent to

the address you provided during your application to update you on your application status. If approved, you will then be able to download your certificate and digital badge from your member account.

Professional Experience

Candidates must provide complete and correct information regarding their professional experience, including job title(s), start and end date(s), job description(s), and more. Candidates are advised to summarize their previous or current assignments, providing sufficient details to describe the nature of the responsibilities for each job. More detailed information can be included in the CV.

Professional References

For each application, two professional references are required. Professional references shall be individuals who have worked with you in a professional environment and can validate your expertise in the respective field, current, and previous work history. You cannot use as a reference the persons who fall under your supervision or are a relative of yours.

Audit Experience

The candidate's audit experience will be checked to ensure that they have completed the required number of audit hours.

Evaluation of Certification Applications

The Certification Department will evaluate each application to validate the candidates' eligibility for certification or certificate program. A candidate whose application is being reviewed will be notified in writing and, if necessary, given a reasonable time frame to provide any additional documentation. If a candidate does not respond by the deadline or does not provide the required documentation within the given time frame, the Certification Department will validate the application based on the initial information provided, which may lead to the candidates' credential downgrade.

PECB can deny certification/certificate program if candidates:

- Falsify the application
- Violate the exam procedures
- Violate the PECB Code of Ethics
- Fail the exam

If applicants have any concerns regarding the denial of certification/certificate program, they may file an appeal by following the complaint and appeal process [Complaint and Appeal Policy](#).

The application payment for the certification/certificate program is nonrefundable. This is due to the application verification process, the evidence submitted by the candidates, and the involvement of the relevant departments.

If candidates pass the exam, they can apply for the certificate within 12 months from the course completion date for instructor-led training, or within 12 months from the purchase date for self-study and eLearning formats. Even though the certification period expires, candidates have the right to reopen their case. However, PECB will no longer be responsible for any changes regarding the conditions, standards, policies, and candidate handbook that were applicable before the case was closed. A candidate requesting their case to reopen must do so in writing to certification.team@pecb.com and pay the required fee.

SECTION IV: CERTIFICATION MAINTENANCE POLICY

For detailed and most up-to-date information, you are advised to refer to the online **Certification Maintenance Policy** by clicking [here](#).

Renewing the Certification

PECB certifications are valid for three years. To maintain them, PECB certified professionals must meet the requirements related to the designated credential, e.g., they must fulfill the required number of continuing professional development (CPD) hours. In addition, they need to pay the annual maintenance fee.

Upgrade Credentials

PECB Certifications can be upgraded online through your dashboard by logging in [here](#), clicking **View Certificate**, and then clicking the **Upgrade** button. For more information on the upgrade requirements and fees, go to the [Certification Maintenance](#) page on the PECB website.

Suspension of Certification

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. In addition to these, the certification may be suspended for other reasons listed in the **Certification Maintenance Policy**. Individuals whose certification has been suspended are not authorized to further promote their certification while it is suspended.

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

Revocation of Certification

PECB can revoke (that is, withdraw) certification if the candidate fails to address the outstanding AMFs and CPDs during the 12-month suspension period. In addition to these, certification may be revoked for other reasons listed in the **Certification Maintenance Policy**. Individuals whose certification has been revoked are not authorized to use any references to a certified status.

If candidates disagree with any certification decision (certification level, suspension, or revocation) they may request a re-evaluation within 30 days from the date they receive their certification decision. If still not satisfied, they can file an appeal through the [PECB Ticketing System](#) within 30 days from the date they receive the re-evaluation decision. Appeals received after 30 days will not be processed. For more detailed information, please refer to [Complaint and Appeal Policy](#).

Other Statuses

Besides being active, suspended, or revoked, a certification can be voluntary withdrawn, or designated as Emeritus. For more information, go to the [Certification Maintenance](#) page on the PECB website.

SECTION V: OTHER POLICIES

Application Fees for Examination and Certification

Candidates may take the exam without attending the training course. The applicable prices are as follows:

- Lead Exam: \$1000²
- Manager Exam: \$700
- Foundation Exam: \$500
- Transition Exam: \$500

The application fee for certification is as follows:

- Master Certification: \$100
- Foundation Certification: \$200
- Transition Certification: \$200
- All other Certifications: \$500

For candidates who complete a training, eLearning, or self-study course delivered by a PECB Partner, the training fee includes the first exam attempt, one free retake, the certification application fee, and the first year of the Annual Maintenance Fee (AMF). This cycle must be completed within 12 months from the course completion date for instructor-led training, or within 12 months from the purchase date for self-study and eLearning formats.

Complaint and Appeal Policy

A person wishing to file a complaint or an appeal can do so by submitting a [service ticket](#) and selecting the corresponding category in the topic dropdown menu: “file a complaint” or “file a certification/certificate program appeal”. Before filing a complaint or an appeal, make sure to follow the [complaint and appeal policy](#).

Exams from Other Accredited Certification Bodies

PECB accepts exams from other recognized accredited certification bodies. PECB will evaluate the requests through its equivalence process to decide whether the respective exam(s) can be accepted as equivalent to the respective PECB certification.

Refund Policy

PECB will refund your payment if the requirements of the Refund Policy are met. To read the Refund Policy, click [here](#).

² All prices listed in this document are in US dollars.



Contact PECB Support at
support@pecb.com



Telephone number
+1-844-426-7322



Visit our [Help Center](#) to access manuals, FAQs, and quick guides, or reach us directly via Live Chat or by submitting a ticket [here](#).

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