

Candidate Handbook

ISO 9001 Foundation



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SECTION I: INTRODUCTION

About PECB

PECB is a certificate issuer which provides certificate programs in accordance with ASTM E2659-18 for individuals on a wide range of disciplines.

We help professionals show commitment and competence by providing them with valuable certificate programs against internationally recognized standards. Our mission is to provide services that inspire trust and continual improvement, demonstrate recognition, and benefit the society as a whole.

The key objectives of PECB are:

1. Establishing the minimum requirements necessary for the certificate programs
2. Reviewing and verifying the qualifications of applicant to ensure they are eligible to apply for the certificate programs
3. Developing and maintaining reliable exams
4. Granting certificates to qualified candidates, maintaining records, and publishing a directory of the holders of a valid certificates
5. Representing its members, where appropriate, in matters of common interest
6. Promoting the benefits of certificate programs to organizations, employers, public officials, practitioners in related fields, and the public

PECB

The Value of PECB Certificate Program

Why Choose PECB as Your Certificate Issuer?

Global Recognition

Professionals who pursue a PECB certificate program will benefit from PECB's recognition in domestic and international markets.

Competent Personnel

The core team of PECB consists of competent individuals who have relevant sector-specific experience. All of our employees hold professional credentials and are constantly trained to provide more than satisfactory services to our clients.

Compliance with Standards

Our certificate programs are a demonstration of compliance with ASTM E2659. They ensure that the standard requirements have been fulfilled and validated with the adequate consistency, professionalism, and impartiality.

Customer Service

We are a customer-centered company and treat all our customers with value, importance, professionalism, and honesty. PECB has a team of experts dedicated to support customer requests, problems, concerns, needs, and opinions. We do our best to maintain a 24-hours maximum response time without compromising the quality of the service.



PECB Code of Ethics

PECB professionals will:

1. Conduct themselves professionally, with honesty, accuracy, fairness, responsibility, and independence
2. Act at all times solely in the best interest of their employer, their clients, the public, and the profession, by adhering to the professional standards and applicable techniques while offering professional services
3. Maintain competency in their respective fields and strive to constantly improve their professional capabilities
4. Offer only professional services for which they are qualified to perform, and adequately inform clients about the nature of the proposed services, including any relevant concerns or risks
5. Inform each employer or client of any business interests or affiliations that might influence their judgment or impair their fairness
6. Treat in a confidential and private manner the information acquired during professional and business dealings of any present or former employer or client
7. Comply with all laws and regulations of the jurisdictions where professional activities are conducted
8. Respect the intellectual property and contributions of others
9. Not, intentionally or otherwise, communicate false or falsified information that may compromise the integrity of the evaluation process of a candidate for a professional designation
10. Not act in any manner that could compromise the reputation of PECB or its certification programs
11. Fully cooperate on the inquiry following a claimed infringement of this Code of Ethics

The full version of the PECB Code of Ethics can be downloaded [here](#).



Introduction to ISO 9001 Foundation

ISO 9001 specifies the requirements for establishing, implementing, maintaining, and continually improving a quality management system (QMS). The purpose of the ISO 9001 Foundation certificate program is to help participants understand the basic quality management concepts and gain fundamental knowledge on ISO 9001 requirements for a QMS.

The “ISO 9001 Foundation” certificate demonstrates that individuals have fundamental knowledge of ISO 9001 requirements for implementing and managing a QMS. The ISO 9001 Foundation certificate is intended for:

- Managers and consultants seeking knowledge about the basic concepts of quality management
- Professionals wishing to get acquainted with ISO 9001 requirements for a QMS
- Individuals responsible for maintaining and improving the quality of products and services of their organization
- Individuals wishing to pursue a career in quality management

It is important to understand that PECB certificates are not a license or simply a membership. They represent peer recognition that an individual has demonstrated proficiency in, and comprehension of, a set of competences.

This document specifies the PECB ISO 9001 Foundation Certificate Program in compliance with ASTM E2659. This candidate handbook contains information about the process by which candidates may earn their credentials. It is very important that you read all the information included in this candidate handbook before completing and submitting your application. If you have questions after reading it, please contact the PECB international office at certification@pecb.com.



SECTION II: CERTIFICATE PROGRAM PROCESS AND EXAMINATION PREPARATION, RULES, AND POLICIES

Decide Which Certificate Is Right for You

To determine the right credential for you, verify the eligibility criteria for various certificates and your professional needs.

ISO 9001 Foundation Summative Assessment

The summative assessment of the “PECB ISO 9001 Foundation” certificate program is in the form of a written exam. The objective of the “PECB ISO 9001 Foundation” exam is to ensure that the candidate has acquired fundamental knowledge of the main concepts and processes related to the implementation and management of a quality management system (QMS). The exam aims to measure the knowledge and understanding of the learner compared to the intended learning outcomes of the certificate program.

Schedule the Training Course

The first step is to take the training course. Candidates can access the list of the PECB Training Courses [here](#).

Prepare and Schedule the Exam

After completing the training course, candidates need to schedule the exam:

1. Contact one of our resellers who provide certificate programs and exam sessions. To find a certificate program provider in a particular region, candidates should go to [Active Resellers](#). The PECB training course schedule is also available on [Training Events](#).

Competency Domains

The exam covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of a quality management system (QMS)
- **Domain 2:** Quality management system (QMS)

The tables below provide the intended learning outcomes of the ISO 9001 Foundation certificate program in terms of competencies and knowledge.

Domain 1: Fundamental principles and concepts of a quality management system (QMS)	
Main objective: Ensure that the candidate understands and is able to interpret ISO 9001 principles and concepts	
Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the applicability and scope of ISO 9001 2. Ability to explain the connection between ISO 9001 and other ISO standards 3. Ability to communicate the advantages of implementing a QMS based on ISO 9001 4. Ability to explain what a management system is 5. Ability to define what an integrated management system is 6. Ability to define what quality is 7. Ability to name the quality management principles, as described in ISO 8. Ability to explain the process approach 9. Ability to understand the structure of ISO 9001 10. Ability to define the main terms related to quality management 	<ol style="list-style-type: none"> 1. Knowledge of the ISO 9001 scope 2. Knowledge of the relationship between ISO 9001 and other ISO standards 3. Knowledge of the advantages of implementing a QMS based on ISO 9001 4. Knowledge of ISO's definition for a management system 5. Knowledge of the common structure of ISO's management system standards 6. Knowledge of the main aspects that impact the concept of quality 7. Knowledge of the quality management principles described by ISO 8. Knowledge of the definition of the process approach and its components 9. Knowledge of ISO 9001's structure 10. Knowledge of the main quality management concepts and terminology as described in ISO 9001

Domain 2: Quality management system (QMS)

Main objective: Ensure that the candidate understands, is able to interpret, and identify the requirements for a quality management system based on ISO 9001.

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to understand and explain the components of a quality management system based on ISO 9001 and its principal processes.2. Ability to interpret and analyze the requirements of ISO 90013. Ability to understand, explain and illustrate the main steps to establish, implement, operate, monitor, review, maintain and improve an organization's QMS	<ol style="list-style-type: none">1. Knowledge of the ISO 9001 requirements presented in clauses 4 to 102. Knowledge of the main steps to establish the QMS, policies, objectives, processes and procedures relevant to managing risk and improving quality management to deliver results in accordance with an organization's overall policies and objectives (awareness level)3. Knowledge of the concept of continual improvement and its application to a QMS

Based on the abovementioned domains and their relevance, 40 questions are included in the exam, as summarized in the table below:

				Level of understanding (Cognitive/Taxonomy) required		Sections related to each competency domain
				Questions that measure comprehension, application, and analysis	Questions that measure synthesis and evaluation	
Competency domains		Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain			
		Fundamental principles and concepts of a quality management system (QMS)	11	27.5	X	
	Quality management system (QMS)	29	72.5		X	Sections 4, 5, 6, 7, 8, 9, 10, and 11
	Total	40	100%			
Number of questions per level of understanding				11	29	
% of the exam devoted to each level of understanding (cognitive/taxonomy)				27.5%	72.5%	

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

Taking the Exam

General Information on the Exam

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

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

The exam duration is one hour. If requested on the day of the exam (paper-based exams), 10 additional minutes can be provided to candidates taking the Foundation exam in a non-native language.

PECB Exam Format and Type

- 1. Paper-based:** 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 Reseller has organized the training course.
- 2. Online:** Exams are provided electronically via the PECB Exams application. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PECB Invigilator via the PECB Exams application and an external/integrated camera.

For more detailed information about the online format, please refer to the [PECB Online Exam Guide](#).

This exam contains multiple choice questions: This format has been chosen because it has proven to be effective and efficient for measuring and assessing learning outcomes related to the defined competency domains. The multiple-choice exam can be used to evaluate a learner's understanding on many subjects, including both simple and complex concepts. You will find a sample of exam questions provided below.

Since the PECB ISO 9001 Foundation exam is "closed book", candidates are not authorized to use reference materials.

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

PECB exams are available in English and other languages. To learn if the exam is available in a particular language, please contact examination@pecb.com.

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

Sample Exam Questions

1. **How is ISO 9000 related to ISO 9001?**
 - A. ISO 9000 provides guidance to achieve sustained success regarding a QMS implementation
 - B. ISO 9000 provides guidance for the application of ISO 9001
 - C. **ISO 9000 provides the fundamental concepts and principles of quality management**

2. **What principle is an organization following when it encourages employees at all levels to contribute to the creation and delivery of value?**
 - A. **Engagement of people**
 - B. Process approach
 - C. Relationship management

3. **Among others, what does the application of risk-based thinking involve?**
 - A. The successful elimination of all possible risks to achieve a zero-risk state
 - B. **The planning and implementation of activities to address risks and opportunities**
 - C. The constant transformation of every potential risk into an opportunity

4. **Who is responsible for approving the quality policy?**
 - A. **The top management**
 - B. The subject-matter experts
 - C. The quality manager

5. **Which of the following is one way of dealing with nonconforming outputs?**
 - A. **Suspension of provision of products and services**
 - B. Make changes to the QMS
 - C. Ignore the nonconformity if the customer is unaware

Receiving the Exam Results

Exam results will be communicated via email. The only possible results are *pass* and *fail*.

- The time span for the communication starts from the exam date and lasts 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 certificate program.

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.

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 allowed time span between exam retakes.

- If a candidate does not pass the exam on the 1st attempt, they must wait 15 days from the initial date of the exam for the next attempt (1st retake). Retake fees apply.
Note: Candidates who have completed the training course but failed the 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 2nd attempt, they must wait three months after the initial date of the exam for the next attempt (2nd retake). Retake fees apply.
Note: For candidates that fail the exam in the 2nd retake, PECB recommends them to attend a training course in order to be better prepared for the exam.
- If a candidate does not pass the exam on the 3rd attempt, they must wait six months after the initial date of the exam for the next attempt (3rd retake). Retake fees apply.
- After the 4th attempt, the waiting period for further retake exams is 12 months from the date of the last attempt. Retake fees apply.

To arrange exam retakes (date, time, place, costs), candidates need to contact the PECB Reseller/Distributor who has initially organized the session.

Exam Security

A significant component of the certificate program is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certificate 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 that violate such rules and policies, including permanently banning individuals from pursuing PECB credentials and invalidating any previous ones. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

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Reschedule the Exam

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

Apply for the Certificate

All candidates who successfully pass the ISO 9001 Foundation exam are entitled to apply for the PECB Certificate Holder in ISO 9001 Foundation certificate. Candidates are required to fill out the online certificate application form (that can be accessed via their PECB online profile). Candidates can submit their application in various languages. Candidates can choose to either pay online or be billed. For additional information, contact certification@pecb.com.

The online certificate application process is very simple and takes only a few minutes, as follows:

- [Register](#) your account
- Check your email for the confirmation link
- [Log in](#) to apply for the certificate

For more information about the application process, follow the instructions on [this manual](#).

The application is approved as soon as the Certification Department validates that the candidate fulfills all the certificate requirements regarding the respective credential. An email will be sent to the email address provided during the application process to communicate the application status. If approved, candidates will then be able to download the certification from their PECB Account.

PECB provides support in both English and French.

Closing a Case

If candidates do not apply for the certificate within three years, their case will be closed. Even though the certificate 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 and pay the required fee.

SECTION III: CERTIFICATE PROGRAM REQUISITES

ISO 9001 Foundation

First, a candidate needs to complete the PECB ISO 9001 Foundation training course. Then, they need to take the exam and after successfully passing the exam, candidates will be able to apply for the “PECB Certificate Holder in ISO 9001 Foundation” certificate. This is an entry-level credential.

There are no prerequisites on professional or management system project experience required. Thus, following the training course, passing the exam and applying for the certificate are the only certificate program requisites that certificate holders shall meet before obtaining the certificate.

Designation	Training course	Exam	Professional experience	MS project experience	Other requirements
PECB Certificate Holder in ISO 9001 Foundation	Complete the PECB ISO 9001 Foundation Training Course	Pass the PECB ISO 9001 Foundation exam	None	None	Signing the PECB Code of Ethics

SECTION IV: CERTIFICATE RULES AND POLICIES

Evaluation of the Certificate Applications

The Certification Department will evaluate each application to validate the candidate's eligibility for the certificate. 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 can eventually lead to rejecting the application.

Denial of the Certificate

PECB can deny the certificate if candidates:

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

For more detailed information, refer to "Complaint and Appeal" section.

The application payment for the certificate is non-refundable.

Invalidation of the PECB Foundation Certificates

PECB Foundation certificates are invalidated only if the person it was issued to is found to have not fulfilled the certificate program requisites in the first place. Examples of circumstances that might lead to the certificate issuer's invalidation of a certificate include:

- a learner's falsification or misrepresentation of identity or information to the certificate issuer or
- participation in activities that provided an unfair advantage in meeting the certificate program's requirements

SECTION V: PECB GENERAL POLICIES

PECB Code of Ethics

Adherence to the PECB Code of Ethics is a voluntary engagement. It is important that PECB certified professionals not only adhere to the principles of this Code, but also encourage and support the same from others. More information can be found [here](#).

Non-discrimination and Special Accommodations

All candidate applications will be evaluated objectively, regardless of the candidate's age, gender, race, religion, nationality, or marital status.

To ensure equal opportunities for all qualified persons, PECB will make reasonable accommodations for candidates, when appropriate. If candidates need special accommodations because of a disability or a specific physical condition, they should inform the Reseller/Distributor in order for them to make proper arrangements. Any information candidates provide regarding their disability/need will be treated with strict confidentiality.

Click [here](#) to download the Candidates with Disabilities Form.

Complaints and Appeals

Any complaints must be made no later than 30 days after receiving the certificate decision. PECB will provide a written response to the candidate within 30 working days after receiving the complaint. If they do not find the response satisfactory, the candidate has the right to file an appeal. For more information about the complaints and appeal procedures, click [here](#).

(1) According to ADA, the term "reasonable accommodation" may include: (A) making existing facilities used by employees readily accessible to and usable by individuals with disabilities; and (B) job restructuring, part-time or modified work schedules, reassignment to a vacant position, acquisition or modification of equipment or devices, appropriate adjustment or modifications of examinations, training materials or policies, the provision of qualified readers or interpreters, and other similar accommodations for individuals with disabilities.

(2) ADA Amendments Act of 2008 (P.L. 110-325) Sec. 12189. Examinations and courses. [Section 309]: Any person that offers examinations or courses related to applications, licensing, certification, or credentialing for secondary or post-secondary education, professional, or trade purposes shall offer such examinations or courses in a place and manner accessible to persons with disabilities or offer alternative accessible arrangements for such individuals.

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PECB Help Center

Visit our [Help Center](#) to browse Frequently Asked Questions (FAQ), view manuals for using PECB website and applications, read documents related to PECB processes, or to contact us via Support Center's online tracking system.

Emails:

Examination: examination@pecb.com
Certification: certification@pecb.com
Customer Service: customer@pecb.com

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