



PECB

Candidate Handbook

ISO/IEC 42001
FOUNDATION

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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 Foundation Certificate

The PECB ISO/IEC 42001 Foundation certificate program enables participants to learn the basic concepts, principles, and requirements of an artificial intelligence management system (AIMS) based on ISO/IEC 42001.

Purpose and scope

This training course is designed to help the participants understand the principles of artificial intelligence (AI) management and the requirements for an AI management system based on ISO/IEC 42001. Furthermore, the “ISO/IEC 42001 Foundation” certificate aims to demonstrate that individuals obtaining this certificate are acquainted with ISO/IEC 42001 requirements for implementing and managing an AIMS.

Upon successful completion of this training course, the participants will be able to:

1. Explain the fundamental concepts and principles of artificial intelligence management
2. Describe the main requirements of ISO/IEC 42001 for an artificial intelligence management system (AIMS)
3. Identify approaches, methods, and techniques used for implementing and managing an AIMS

The ISO/IEC 42001 Foundation certificate is intended for:

- Professionals seeking to gain a fundamental understanding of the requirements of ISO/IEC 42001
- Managers and consultants seeking to learn more about artificial intelligence management
- Individuals involved in the management or implementation of AI systems
- Individuals tasked with overseeing AI-related projects

This document specifies the PECB ISO/IEC 42001 Foundation Certificate Program in compliance with ASTM E2659. It contains information about the process by which candidates may earn their credentials. As such, it is very important to carefully read all the information included in this document before completing and submitting your application. If you have questions or need further information after reading it, please contact support@pecb.com.

SECTION II: TRAINING COURSE, EXAM PROCESS, RULES AND POLICIES

ISO/IEC 42001 Foundation Training Course

All candidates are required to complete the PECB ISO/IEC 42001 Foundation training course. This training course has been designed and developed in accordance with generally accepted practices for instructional design and adult learning.²

Candidates may attend this training course in one of the following formats:

- Classroom
- Live Online
- eLearning³
- Self-study

To learn more about PECB's delivery formats, please go to [Training Course Delivery Formats](#). The Classroom and Live Online formats are delivered through our partners. To find an authorized partner in your region, please go to [Active Partners](#). To see the training events organized by our partners, please go to [Training Events](#).

ISO/IEC 42001 Foundation Summative Assessment

The summative assessment of the "PECB ISO/IEC 42001 Foundation" certificate program is in the form of a written exam. The objective of the "PECB ISO/IEC 42001 Foundation" exam is to ensure that the candidate has acquired fundamental knowledge of the main concepts and processes related to an artificial intelligence management system (AIMS). The exam aims to measure the knowledge and understanding of the learner compared to the intended learning outcomes of the certificate program.

Note: For simplicity, this candidate handbook may use the term "exam"; however, whenever used, it refers to the program's summative assessment as defined by the ASTM E2659 standard.

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.

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

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

² Training course is not required for certificate programs that are not accredited by ANAB

³ The availability of this format may be limited.

through [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	- 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

For specific information on exam types, languages available, and other details, please contact examination.team@pecb.com or 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 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.

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 Complaint and Appeal Policy [here](#).

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 certificate program credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certificate program 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 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 artificial intelligence management system (AIMS)

Main objective: Ensure that the candidate is able to explain the principles, requirements, and key processes of an AI management system (AIMS) in accordance with ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to explain the purpose and applicability of ISO/IEC 42001	1. Knowledge of the purpose, scope, and applicability of ISO/IEC 42001
2. Ability to distinguish the purpose and scope of key ISO standards related to AI	2. Knowledge of key ISO standards and their respective purposes and applications
3. Ability to define fundamental AI concepts and terminology	3. Knowledge of fundamental AI concepts, terminology, and AI agents
4. Ability to explain fundamental machine learning concepts and approaches	4. Knowledge of machine learning approaches, including supervised learning and deep learning
5. Ability to describe the structure and functions of artificial neural networks	5. Knowledge of artificial neural network structures, layers, and functions
6. Ability to distinguish semantic computing and soft computing approaches	6. Knowledge of semantic computing and soft computing concepts and characteristics
7. Ability to explain the fundamental concepts of management systems	7. Knowledge of management system concepts and fundamental elements
8. Ability to explain the stages and iterative nature of the AI system life cycle	8. Knowledge of AI system life cycle stages and iterative processes
9. Ability to identify key principles supporting responsible and trustworthy AI	9. Knowledge of key responsible and trustworthy AI principles, including transparency

Domain 2: Artificial intelligence management system (AIMS)

Main objective: Ensure that the candidate is able to explain the key principles, requirements, and practices for establishing, managing, evaluating, and improving an AI management system (AIMS) in accordance with ISO/IEC 42001.

Competencies	Knowledge statements
1. Ability to explain the assignment of roles and responsibilities for AI governance and management	1. Knowledge of AI governance roles, responsibilities, and their assignment based on AI objectives and risk
2. Ability to explain the purpose and application of AI risk criteria	2. Knowledge of AI risk criteria and their role in AI risk assessment and treatment
3. Ability to identify key technical, organizational, and societal considerations for conducting AI system impact assessments	3. Knowledge of key considerations for conducting AI system impact assessments, including technical, organizational, and societal contexts and potential impacts on affected stakeholders
4. Ability to explain the integration of AI risk management into organizational processes	4. Knowledge of integrated approaches to AI risk management within organizations
5. Ability to explain requirements for managing third-party and customer relationships related to AI systems	5. Knowledge of ISO/IEC 42001 requirements for managing third-party and customer relationships
6. Ability to identify organizational objectives and values relevant to AI governance	6. Knowledge of organizational objectives, culture, and values relevant to AI governance
7. Ability to explain AI risk management process	7. Knowledge of AI risk management, including establishing scope, context, and criteria; identifying, analyzing, evaluating, prioritizing, treating, and monitoring AI risks
8. Ability to explain the process and documentation requirements for conducting AI system impact assessments	8. Knowledge of requirements for conducting, documenting, reviewing, and updating AI system impact assessments, including potential consequences for individuals, groups, and society
9. Ability to identify organizational context and interested-party requirements relevant to an AIMS	9. Knowledge of organizational context and interested-party requirements under ISO/IEC 42001
10. Ability to explain top management's leadership and commitment responsibilities within an AIMS	10. Knowledge of top management's leadership and commitment responsibilities under ISO/IEC 42001
11. Ability to identify requirements for managing the AI system life cycle	11. Knowledge of AI system life cycle requirements, including specification, design, development, verification, validation, deployment, operation, monitoring, and decommissioning
12. Ability to explain the selection and applicability of AI controls and the statement of applicability	12. Knowledge of Annex A control applicability, AI risk treatment, and statement of applicability requirements under ISO/IEC 42001
13. Ability to explain requirements for establishing, reviewing, and maintaining AI policies	13. Knowledge of requirements for establishing, reviewing, and maintaining AI
14. Ability to distinguish AIMS audit types and explain internal audit reporting requirements	
15. Ability to explain corrective action processes and mechanisms for reporting AI-related concerns	
16. Ability to identify security and operational monitoring measures relevant to AI systems	

Competencies	Knowledge statements
	policies to ensure their suitability, adequacy, and effectiveness 14. Knowledge of first-, second-, and third-party AIMS audits, including their characteristics and internal audit reporting requirements 15. Knowledge of corrective action processes and mechanisms for reporting and addressing AI-related concerns 16. Knowledge of AI system security and operational monitoring measures, including event logging, performance monitoring, anomaly detection, and security event monitoring

Based on the above-mentioned domains and their relevance, the exam contains 40 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	Sections related to each competency domain
Competency domains	Fundamental principles and concepts of an artificial intelligence management system (AIMS)	15	37.5%	X		Sections 2, 3, and 4
	Artificial intelligence management system (AIMS)	25	62.5%		X	Sections 5, 6, 7, 8, 9, 10, 11, and 12
Total		40	100%			
Number of questions per level of understanding				15	25	
% of the exam devoted to each level of understanding (cognitive/taxonomy)				37.5%	62.5%	

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 on both simple and complex concepts. 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 a multiple-choice, closed-book exam. No reference material (including training course materials, standards, notes, etc.) is allowed to be used during the exam.

A sample of exam questions will be provided below.

Sample Exam Questions

1. According to ISO/IEC 42001, clause 6.1.2, the AI risk assessment process must be informed by and aligned to which of the following?
 - A. **The AI policy and the AI objectives**
 - B. The risk criteria and the risk treatment plan
 - C. The needs of interested parties and the scope of the AIMS

2. Which statement correctly describes the relationship between artificial intelligence (AI), machine learning, and deep learning?
 - A. Machine learning includes AI and deep learning.
 - B. **AI includes machine learning and deep learning.**
 - C. Deep learning includes AI and machine learning.

3. A company has a training dataset of 2 million customer support emails. Labelling every email with its correct category would be too expensive and time-consuming, so the team manually labels 10,000 emails and then trains an ML model using both the labelled emails and the remaining unlabeled ones. Which type of machine learning is this?
 - A. Supervised machine learning, because the model is trained using labels that were determined manually
 - B. Unsupervised machine learning, because most of the training data has no labels
 - C. **Semi-supervised machine learning, because both labelled and unlabeled data are used during training**

4. What should an organization do after implementing a risk treatment plan?
 - A. **Evaluate residual risks against risk acceptance criteria**
 - B. Accept residual risks based on the controls implemented
 - C. Transfer the remaining risks to external parties

5. What is a key requirement for conducting an internal AIMS audit?
 - A. Auditors must be independent of the organization.
 - B. Auditors must be responsible for managing the audited activities.
 - C. **Auditors must be independent of the activities being audited.**

SECTION III: CERTIFICATE PROGRAM REQUISITES, PROCESS, RULES, AND POLICIES

PECB ISO/IEC 42001 Foundation

First, candidates need to complete the PECB ISO/IEC 42001 Foundation training course, then they need to take the exam, and after successfully passing the exam, they will be able to apply for the “PECB Certificate Holder in ISO/IEC 42001 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	PECB Certificate Holder in ISO/IEC 42001 Foundation
Training course	Complete the PECB ISO/IEC 42001 Foundation Training Course
Exam	Pass the PECB ISO/IEC 42001 Foundation exam
Professional experience	None
MS audit/assessment experience	None
Project experience	None
Other requirements	Signing the PECB Code of Ethics

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

Applying for the Certificate

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 fulfill all the certificate program 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.

Evaluation of Certificate Applications

The Certification Department will evaluate each application.

The approval of the application occurs when the Certification Department validates that you fulfill all the certificate program 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.

Denial of the Certificate

PECB can deny certificate program if candidates:

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

Invalidation of Certificate

PECB shall invalidate a certificate only if the person it was issued to is found to have not fulfilled the certificate program requisites.

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

The application payment for the certificate program is nonrefundable. This is due to the application verification process, 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. If the certificate program application 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: OTHER POLICIES

The applicable prices are as follows:

- Foundation Exam: \$500
- Foundation Certificate: \$200

Note: For ANAB accredited certificate programs, a training is mandatory before taking the exam.

Candidates who have completed the training course with one of PECB's partners, have paid a fee for the training course, which included the course, the costs of the exam (first attempt and first retake), and the application for certificate Program. 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](#).

Refund Policy

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



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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