PECB

When Recognition Matters

EXAM PREPARATION GUIDE

PECB Certified ISO 20121 Lead Implementer

The objective of the "Certified ISO 20121 Lead Implementer" examination is to ensure that the candidate has the knowledge and skills to support an organization in implementing and managing an Event Sustainability Management System (ESMS) based on ISO 20121:2012.

The target population for this examination is:

- Project managers or consultants wanting to prepare and support an organization in the implementation of an Event Sustainability Management System (ESMS)
- Event Sustainability Management System auditors who wish to fully understand the Event Sustainability Management System (ESMS) implementation process
- Managers responsible for Event Sustainability Management System or conformity
- Members of an Event Sustainability Management System team
- Expert advisors in Event Sustainability Management System
- Technical experts wanting to prepare for an Event Sustainability Management System function or for an SMS project management function

The exam content covers the following domains:

- Domain 1: Fundamental principles and concepts in Event Sustainability Management
- Domain 2: Event Sustainability Management Best Practices based on ISO 20121
- Domain 3: Planning an ESMS based on ISO 20121
- Domain 4: Implementing an ESMS based on ISO 20121
- Domain 5: Performance evaluation, monitoring and measurement of an ESMS based on ISO 20121
- Domain 6: Continual improvement of an ESMS based on ISO 20121
- Domain 7: Preparation for an ESMS certification audit

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts in Event Sustainability Management

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can understand, interpret and illustrate the main Event Sustainability Management concepts related to an Event Sustainability Management System (ESMS)

Competencies	Knowledge statements
1. Understand and explain the operations of the ISO organization and the development of Event Sustainability Management standards	1. Knowledge of the application of the management principles to Event Sustainability Management
2. Ability to identify, analyze and evaluate the Event Sustainability Management compliance requirements for an organization	2. Knowledge of the main standards in Event Sustainability Management
3. Ability to explain and illustrate the main concepts in Event Sustainability Management	3. Knowledge of the different sources of Event Sustainability Management requirement for an organization: laws, regulations, international and industry standards, contracts, market practices, internal policies
	4. Knowledge of the main Event Sustainability Management concepts and terminology as described in ISO 20121
	5. Knowledge of the concept of risk and its application in Event Sustainability Management
	6. Knowledge of the difference between preventive, detective and corrective controls and their characteristics

Domain 2: Event Sustainability Management Best Practice based on ISO 20121

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can understand, interpret and provide guidance on how to implement and manage Event Sustainability Management requirements based on best practices of ISO 20121

Competencies	Knowledge statements
1. Ability to identify, understand, classify and explain the clauses with requirements from ISO 20121	1. Knowledge of operational planning and control
2. Ability to identify and briefly describe other Event Sustainability standards	2. Knowledge of understanding and interpreting requirements deriving from clauses 4.1 to 4.5 of the ISO 20121
3. Ability to research, identify, review and determine applicable Event Sustainability laws and regulations in a country where its organization in operating	3. Knowledge of Event Sustainability Management strategy
4. Ability to detail and illustrate the requirements and best practices by concrete examples	4. Knowledge of other Event Sustainability standards
5. Ability to compare possible solutions to an Event Sustainability Management issue of an organization and identify/analyze the strength and weakness of each solution	5. Knowledge of researching for applicable Event Sustainability laws and regulations in different countries
6. Ability to select and demonstrate the best Event Sustainability Management solution in order to address Event Sustainability Management objectives stated by the organization	6. Knowledge on establishing monitoring and measurement procedures to maintain organization's Event Sustainability management system
7. Ability to create and justify an action plan to implement an Event Sustainability Management by listing the activities related	7. Knowledge on compiling ESMS action plan including its activities
8. Ability to analyze, evaluate and validate action plans to implement a specific requirement	8. Knowledge on implementing and managing action plan to support ESMS implementation in an organization

Domain 3: Planning an ESMS based on ISO 20121

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can plan the implementation of an ESMS in preparation for an ISO 20121 certification

Competencies	Knowledge statements
1. Ability to manage an ESMS implementation project following project management best practices	1. Knowledge of the main project management concepts, terminology, process and best practice
2. Ability to gather, analyze and interpret the necessary information to plan the ESMS implementation	2. Knowledge of the principal approaches and methodology frameworks to implement an ESMS
3. Ability to observe, analyze and interpret the external and internal environment of an organization	3. Knowledge of the main concepts and terminology related to organizations
4. Ability to perform a gap analysis and clarify the Event Sustainability Management objectives of an organization	4. Knowledge of an organization's external and internal environment
5. Ability to state and justify an ESMS scope adapted to the Event Sustainability objectives of a specific organization	5. Knowledge of the main interested parties related to an organization and their characteristics
6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization	6. Knowledge of techniques to gather information on an organization and to perform a gap analysis of a management system
7. Ability to perform the different steps of the risk assessment and risk treatment phases	7. Knowledge of the characteristics of an ESMS scope in terms of organizational, technological and physical boundaries
	8. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment
	9. Knowledge of the main activities of the risk identification, estimation, evaluation related to the environment included in the ESMS of an organization

Domain 4: Implementing an ESMS based on ISO 20121

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can implement the processes of an ESMS required for an ISO 20121 certification

Competencies	Knowledge statements
1. Ability to understand, analyze needs and provide guidance on the attribution of roles and responsibilities in the context of the implementation and management of an ESMS	1. Knowledge of the roles and responsibilities of the key actors during the implementation of an ESMS and in its operation after the end of the implementation project
2. Ability to define the document and record management processes needed to support the implementation and the operations of an ESMS	2. Knowledge of the main organizational structures applicable for an organization to manage Event Sustainability Management
3. Ability to define and design processes and document them	3. Knowledge of the best practices on document and record management processes and the document management life cycle
4. Ability the define and writing an ESMS policy and Event Sustainability Management policies & procedures	4. Knowledge of the characteristics and the differences between the different documents related to ESMS: policy, procedure, guideline, standard, baseline, worksheet, etc.
5. Ability to implement the required processes and of an ESMS	5. Knowledge of model-building controls and processes techniques and best practices
6. Ability to define and implement appropriate Event Sustainability Management training, awareness and communication plans	6. Knowledge of controls and processes deployment techniques and best practices
	7. Knowledge of techniques and best practices to write Event Sustainability Management policies, procedures and others types of documents include in an ESMS
7. Ability to define and implement an incident management process based on Event Sustainability Management best practices	8. Knowledge of the characteristics and the best practices to implement Event Sustainability Management training, awareness and communication plans
8. Ability to transfer an ESMS project to operations and manage the change management process	9. Knowledge of the characteristics and main processes of an ESMS incident management process based on best practices
	10. Knowledge of change management techniques best practices

Domain 5: Performance evaluation, monitoring and measurement of an ESMS based on ISO 20121

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can evaluate, monitor and measure the performance of an ESMS in the context of an ISO 20121 certification

Competencies	Knowledge statements
1. Ability to monitor and evaluate the effectiveness of an ESMS in operation	1. Knowledge of the techniques and best practices to monitor the effectiveness of an ESMS
2. Ability to verify the extent to which identified requirements have been met	2. Knowledge of the main concepts and components related to a Event Sustainability Management Measurement Programme: measures, attributes, indicators, dashboard, etc.
3. Ability to define and implemented an internal audit program for ISO 20121	3. Knowledge of the characteristics and the differences between an operational, tactical and strategic Event Sustainability Management indicators and dashboard
4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an ESMS with policies and objectives of an organization	4. Knowledge of the techniques and methods to define and document an adequate and reliable indicators
5. Ability to define and implement a management review process and counsel management on it	5. Knowledge of the main concepts and components related to the implementation and operation of an ESMS internal audit program
	6. Knowledge of the differences between the concepts of major nonconformity, minor nonconformity, anomaly and observation
	7. Knowledge of the guidelines and best practices to write nonconformity report
	8. Knowledge of the best practices on how to perform management reviews

Domain 6: Continual improvement of an ESMS based on ISO 20121

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can provide guidance on the Continual improvement of an ESMS in the context of ISO 20121

Competencies	Knowledge statements
1. Ability to understand the principle and concepts related to continual improvement	1. Knowledge of the main concepts related to continual improvement
2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of an ESMS	2. Knowledge of the characteristics and the difference between the concept of effectiveness and the efficiency
3. Ability to implement ESMS continual improvement processes in an organization	3. Knowledge of the concept and techniques to perform a benchmarking
4. Ability to determine the appropriate business improvement tools to support continual improvement processes of a specific organization	4. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities
5. Ability to identify, analyze the root-causes of nonconformities and proposed action plans to treat them	5. Knowledge of the characteristics and the difference between corrective actions and preventive actions
6. Ability to identify, analyze the root-cause of potential nonconformities and proposed action plans to treat them	6. Knowledge of the main processes, tools and techniques used by professionals to develop and proposed the best corrective and preventive action plans

Domain 7: Preparation for an ESMS certification audit

Main objective: To ensure that the ISO 20121 Lead Implementer candidate can prepare and assist an organization for the certification of an ESMS against the ISO 20121 standard

Competencies	Knowledge statements
1. Ability to understand the main steps, processes and activities related to a ISO 20121 certification audit	1. Knowledge of the evidence based approach in an audit
2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 20121 audit	2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal
3. Ability to counsel an organization to identify and select a certification body that meets their needs	3. Knowledge of the difference of the stage 1 audit and the stage 2 audit
4. Ability to review the readiness of an organization for a ISO 20121 certification audit	4. Knowledge of stage 1 audit requirements, steps and activities
5. Ability to coach and prepare the personnel of an organization for an ISO 20121 certification audit	5. Knowledge of the documentation review criteria
6. Ability to argue and challenge the audit findings and conclusions with external auditors	6. Knowledge of stage 2 audit requirements, steps and activities
	7. Knowledge of follow-up audit requirements, steps and activities
	8. Knowledge of surveillance audits and recertification audit requirements, steps and activities
	9. Knowledge of the requirements, guidelines and best practices to develop action plans following a ISO 20121 certification audit

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

		Points per Question	Level of Understanding (Cognitive/Taxonomy) Required		Number of Questions per competency domain	% of test devoted to each competency domain	Number of Points per competency domain	% of Points per competency domain
			Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation				
Competency/Domains	Fundamental principles and concepts in Event Sustainability Management	5	X		3	25.00	15	20.00
		5	X					
		5	X					
	Event Sustainability Management Best Practices based on ISO 20121	10	X		1	8.33	10	6.67
	Planning an ESMS based on ISO 20121	5		X	1	8.33	5	13.33
	Implementing an ESMS based on ISO 20121	5		X	3	25.00	20	25.57
		5		X				
		10		X				
	Performance evaluation, monitoring and measurement of an ESMS based on ISO 20121	10	X		2	16.67	15	20.00
		5		X				
	Continual improvement of an ESMS based on ISO 20121	5		X	1	8.33	5	6.67
	Preparation for an ESMS certification audit	5		X	1	8.33	5	6.67
Total points		75						
Number of Questions per level of understanding			5	7				
% of Test Devoted to each level of understanding (cognitive/taxonomy)			41.67	58.33				

The passing score is established at **70%.**

After successfully passing the exam, candidates will be able to apply for the credentials of PECB Certified ISO 20121 Lead Implementer, depending on their level of experience.

TAKE A CERTIFICATION EXAM

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

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

The exam duration is three (3) hours.

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

As the exam is an "open book"; candidates are only authorized to use:

- A copy of the ISO 20121:2012 standard,
- Course notes from the Participant Handout,
- Any personal notes made by the student during the course and
- A hard copy dictionary.

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

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

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

RECEIVE YOUR EXAM RESULTS

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

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

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

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

EXAM RETAKE POLICY

There is no limitation on how many times a candidate can retake the same exam. However, there are some limitations in terms of allowed time-frame in between exams.

When candidates fail the examination, they are only allowed to retake the examination once within 12 months after the first attempt. If second examination is unsuccessful, candidates will be allowed to retake the exam only after 1 year (12 months). Retake fee applies.

Only candidates, who have completed a full PECB training but fail the written exam, are eligible to retake the exam for free, under one condition:

"A candidate can only retake the exam once and this retake must occur within 12 months from the initial exam's date."

When candidates fail the same examination for the second time, their file is automatically closed for 1 year.

CLOSING FILES

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

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

EXAMINATION SECURITY

A significant component of a successful and respected professional certification credential is maintaining the security and confidentiality of the examination. PECB relies upon the ethical behaviour of certificate holders and applicants to maintain the security and confidentiality of

PECB examinations. When someone who holds PECB credentials reveals information about PECB examination content, they violate the PECB Code of Ethics. PECB will take action against individuals who violate PECB Policies and the Code of Ethics. Actions taken may include permanently barring individuals from pursuing PECB credentials and revoking certifications from those who have been awarded the credential. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

SAMPLE EXAM QUESTIONS AND POSSIBLE ANSWERS

1. Development of metrics

For each of the following clauses of the ISO 20121 standard, please provide two examples of metrics that would be acceptable to measure the conformity to the clause.

9.4 Management Review

Possible answers:
- Total of management review meetings completed according to the annual planning
- Average participation rates in management review meetings to date

2. Interpretation of ISO clauses

For each of the following requirements of the ISO 20121, please identify and describe two deliverables that would help achieve compliance with the requirements.

Dealing with modified activities, products or services (8.2)

Possible answers:
- Reviews the modified documents and approved (generate ideas for new products and services)
- Documented procedures for products and services

3. Recommendations

The management of the organization would like to receive recommendations from you to improve the processes in place to comply with the requirements of ISO 20121 on control of documents

Possible answers:

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