



EXAM PREPARATION GUIDE

PECB Certified ISO 21001 Lead Auditor

The objective of the “**PECB Certified ISO 21001 Lead Auditor**” exam is to ensure that the candidate possesses the necessary expertise to perform a Management System for Educational Organizations (EOMS) audit and to manage an audit team by applying widely recognized audit principles, procedures and techniques. The aim of the exam is to evaluate that the candidate possesses the knowledge and skills to proficiently plan and carry out internal and external audits in compliance with the ISO 19011 and ISO/IEC 17021-1 standards certification process.

The ISO 21001 Lead Auditor exam is intended for:

- Auditors seeking to perform and lead Management Systems for Educational Organizations (EOMS) certification audits
- Managers or consultants seeking to master Management Systems for Educational Organizations and their respective audit processes
- Individuals responsible for maintaining conformance with EOMS requirements
- Technical experts seeking to prepare for an Educational Organizations Management System audit
- Expert advisors in Educational Management and Administration

The exam content covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of a Management System for Educational Organizations (EOMS)
- **Domain 2:** Management System for Educational Organizations (EOMS)
- **Domain 3:** Fundamental audit concepts and principles
- **Domain 4:** Preparation of an ISO 21001 audit
- **Domain 5:** Conducting an ISO 21001 audit
- **Domain 6:** Closing an ISO 21001 audit
- **Domain 7:** Managing an ISO 21001 audit program

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts of Management Systems for Educational Organizations (EOMS)

Main objective: Ensure that the ISO 21001 Lead Auditor candidate understands, and is able to interpret and illustrate the main educational concepts, principles and recommendations related to Management Systems for Educational Organizations (EOMS).

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and explain the organization’s operations and the development of the EOMS standard. 2. Ability to identify, understand and explain education-related regulatory frameworks and standards. 3. Ability to identify, analyze and evaluate the EOMS requirements for an organization. 4. Ability to understand the EOMS management tools and techniques. 5. Ability to explain and illustrate the main principles of EOMS, such as focus on learners, social responsibility, accessibility and equity, process approach, etc. 	<ol style="list-style-type: none"> 1. Knowledge of the main standards related to educational organization management. 2. Knowledge of the different sources of educational management requirements for an organization, including laws, regulations, international standards, contracts, and internal policies. 3. Knowledge of the main educational concepts and terminology as described in the ISO 21001 standard. 4. Knowledge of the EOMS principles, such as focus on learners; social responsibility; accessibility and equity, etc. 5. Knowledge of the concepts of process approach and risk-based thinking in EOMS.

Domain 2: Management Systems for Educational Organizations (EOMS)

Main objective: Ensure that the ISO 21001 Lead Auditor candidate can understand, interpret and illustrate the main concepts and components related to the Management Systems for Educational Organizations based on the ISO 21001 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and explain the components of Management Systems for Educational Organizations based on the ISO 21001 standard and its principal processes. 2. Ability to interpret and analyze the requirements of the ISO 21001 standard. 3. Ability to understand, explain and illustrate the main steps to establish, implement, operate, monitor, review, maintain and improve an educational organization's EOMS. 	<ol style="list-style-type: none"> 1. Knowledge of the concepts, principles and terminology related to Management Systems for Educational Organizations and the "Plan-Do-Check-Act" (PDCA) model. 2. Knowledge of the main characteristics of an integrated management system. 3. Knowledge of the main certification advantages and benefits for an organization. 4. Knowledge of the ISO 21001 requirements presented in clauses 4 to 10. 5. Knowledge of the main steps on how to establish the EOMS, its policies, objectives, processes and procedures relevant to managing risk and improving the EOMS in order to deliver results in accordance with an organization's overall policies and objectives (awareness level). 6. Knowledge of the continual improvement concept and its application to an EOMS.

Domain 3: Fundamental audit concepts and principles

Main objective: Ensure that the ISO 21001 Lead Auditor candidate understands and is able to interpret and apply the main concepts and principles related to an EOMS audit in the context of ISO 21001 audit.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand, explain and illustrate the application of the audit principles in the context of an ISO 21001 audit. 2. Ability to identify and judge the situations that would discredit the professionalism of the auditor and the PECB Code of Ethics. 3. Ability to identify and evaluate ethical problems taking into account the obligations related to the audit client, auditee, and law enforcement and regulatory authorities. 4. Ability to explain, illustrate and apply the audit evidence approach in the context of an ISO 21001 audit. 5. Ability to explain and compare the types and characteristics of evidence. 6. Ability to determine and justify the type and the amount of evidence required in the context of a specific EOMS audit. 7. Ability to determine and evaluate the level of materiality and apply the risk-based approach throughout the different phases of an ISO 21001 audit. 8. Ability to judge the appropriate level of reasonable assurance needed for a specific ISO 21001 audit. 	<ol style="list-style-type: none"> 1. Knowledge of the main audit concepts and terminology as described in the ISO 19011 standard. 2. Knowledge of the differences between first, second and third party audits. 3. Knowledge of the following audit principles: integrity, fair presentation, due professional care, professional judgment, professional skepticism, confidentiality, independence and risk-back approach. 4. Knowledge of the professional responsibility of an auditor and the PECB Code of Ethics. 5. Knowledge of evidence-based approach in an audit. 6. Knowledge of the different types of evidence such as physical, mathematical, confirmative, technical, analytical, documentary and verbal. 7. Knowledge of the quality of audit evidence (competent, appropriate, reliable and sufficient) and the factors that will influence them. 8. Knowledge of the risk-based approach in an audit and the different types of risks related to audit activities. 9. Knowledge of the concept of materiality and its application in an audit. 10. Knowledge of the concept of reasonable assurance and its applicable in an audit.

Domain 4: Preparation of an ISO 21001 audit

Main objective: Ensure that the ISO 21001 Lead Auditor candidate can prepare an EOMS audit in the context of ISO 21001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and explain the steps and activities to prepare an EOMS audit taking into consideration the specific context and conditions of the audit. 2. Ability to understand and explain the roles and responsibilities of the audit team leader, audit team members and technical experts. 3. Ability to determine, evaluate and confirm the audit objectives, the audit criteria and the audit scope for a specific ISO 21001 audit. 4. Ability to conduct feasibility study of an audit in the context of a specific ISO 21001 audit. 5. Ability to explain, illustrate and define the characteristics of the audit terms of engagement and apply the best practices to establish a first contact with an auditee in the context of a specific ISO 21001 audit. 6. Ability to develop audit working papers and elaborate appropriate audit test plans in the context of a specific ISO 21001 audit. 	<ol style="list-style-type: none"> 1. Knowledge of the main responsibilities of the audit team leader and audit team members. 2. Knowledge of the roles and responsibilities of technical experts in an audit. 3. Knowledge of the definition of audit objectives, audit scope and audit criteria. 4. Knowledge of the difference between the EOMS scope and the audit scope. 5. Knowledge of the elements to review during the feasibility study of an audit. 6. Knowledge of the cultural aspects to consider in an audit. 7. Knowledge of the characteristics of audit terms of engagement and the best practices to establish a first contact with an auditee. 8. Knowledge of the preparation procedure of an audit plan. 9. Knowledge of the preparation and development procedure of audit working papers. 10. Knowledge of the advantages and disadvantages of using audit checklists. 11. Knowledge of the best practices for creating audit test plans.

Domain 5: Conducting an ISO 21001 audit

Main objective: Ensure that the ISO 21001 Lead Auditor candidate can efficiently conduct an EOMS audit in the context of ISO 21001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to organize and conduct the opening meeting in the context of a specific ISO 21001 audit. 2. Ability to conduct a stage 1 audit in the context of a specific ISO 21001 audit taking into account the documentation review conditions and criteria. 3. Ability to conduct a stage 2 audit in the context of a specific ISO 21001 audit by applying the best practices of communication to collect the appropriate evidence taking into account the roles and responsibilities of all persons involved. 4. Ability to explain, illustrate and apply statistical techniques and main audit sampling methods. 5. Ability to objectively gather and evaluate appropriate evidence from the available information during an audit. 	<ol style="list-style-type: none"> 1. Knowledge of the objectives and the content of the opening meeting of an audit. 2. Knowledge of the difference between stage 1 audit and stage 2 audit. 3. Knowledge of stage 1 audit requirements, steps and activities. 4. Knowledge of the documentation review criteria. 5. Knowledge of the documented information requirements stated in the ISO 21001 standard. 6. Knowledge of stage 2 audit requirements, steps and activities. 7. Knowledge of the best practices of communication during an audit. 8. Knowledge of the roles and responsibilities of guides and observers during an audit. 9. Knowledge of the conflict resolution techniques. 10. Knowledge of evidence collection procedures such as observation, documentation review, interviews, analysis and technical verification. 11. Knowledge of evidence analysis procedures: corroboration and evaluation. 12. Knowledge of the main audit concepts, principles and statistical techniques used. 13. Knowledge of the main audit sampling methods and their characteristics.

Domain 6: Closing an ISO 21001 audit

Main objective: Ensure that the ISO 21001 Lead Auditor candidate can conclude an EOMS audit and conduct follow-up activities in the context of ISO 21001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to explain and apply the evaluation process of evidence to draft audit findings and prepare audit conclusions. 2. Ability to understand, explain and illustrate the different levels of conformity and the concept of the benefit of the doubt. 3. Ability to report appropriate audit observations in order to help an organization improve an EOMS with respect to audit rules and principles. 4. Ability to complete audit working documents and conduct a quality review of an ISO 21001 audit. 5. Ability to draft audit conclusions and present them to the management of the audited organization. 6. Ability to organize and conduct an audit closing meeting. 7. Ability to write an ISO 21001 audit report and justify a certification recommendation. 8. Ability to conduct the activities following an initial audit including the evaluation of action plans, follow-up audits, surveillance audits and recertification audits. 	<ol style="list-style-type: none"> 1. Knowledge of the evaluation process of evidence to draft audit findings and prepare audit conclusions. 2. Knowledge of the differences and characteristics between the concepts of conformity, minor nonconformity, major nonconformity, anomaly and observation. 3. Knowledge of the guidelines and best practices to write nonconformity reports. 4. Knowledge of the guidelines and best practices to draft and report audit observations. 5. Knowledge of the principle of the benefit of the doubt and its application in the context of an audit. 6. Knowledge of the guidelines and best practices to complete audit working documents and perform a quality review of an audit. 7. Knowledge of the guidelines and best practices to present audit findings and conclusions to the management of an audited organization. 8. Knowledge of the possible recommendations that an auditor can issue in the context of a certification audit and the certification decision process. 9. Knowledge of the guidelines and best practices to evaluate action plans. 10. Knowledge of follow-up audits, surveillance audits and recertification audit requirements, steps and activities. 11. Knowledge of the conditions for modification, extension, suspension or withdrawal of a certification for an organization.

Domain 7: Managing an ISO 21001 audit program

Main objective: Ensure that the ISO 21001 Lead Auditor understands how to establish and manage an EOMS audit program.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand and explain the establishment of an audit program and the application of the PDCA model. 2. Ability to understand and explain the implementation of an ISO 21001 audit program (first, second, and third party). 3. Ability to understand and explain the responsibilities to protect the integrity, availability and confidentiality of audit records. 4. Ability to understand the requirements related to the components of the management system of an audit program as record management, and complaint management. 5. Ability to understand the evaluation of the efficiency of the audit program by monitoring the performance of each auditor, team and certification body. 6. Ability to demonstrate the application of the personal attributes and behaviors associated with professional auditors. 	<ol style="list-style-type: none"> 1. Knowledge of the application of the PDCA model in the management of an audit program. 2. Knowledge of the requirements, guidelines and best practices regarding audit resources, procedures and policies. 3. Knowledge of the types of tools used by professional auditors. 4. Knowledge of the requirements, guidelines and best practices regarding the management of audit records. 5. Knowledge of the application of the concept of continual improvement to the management of an audit program. 6. Knowledge of the particularities to implement and manage a first, second or third party audit program. 7. Knowledge of the management of combined audit activities. 8. Knowledge of the personal attributes and behavior of professional auditors.

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

				Level of understanding (Cognitive/Taxonomy) Required		% of test devoted to each competency domain	Number of points per competency domain	% of points per competency domain
		Points per question	Questions that measure comprehension, application and analysis	Questions that measure synthesis and evaluation	Number of questions per competency domain			
Competency domains	Fundamental principles and concepts of Management Systems for Educational Organizations (EOMS)	5	X		1	8.33	5	6.67
	Management Systems for Educational Organizations (EOMS)	5	X		3	25.00	20	26.66
		10	X					
		5		X				
	Fundamental audit concepts and principles	5	X		1	8.33	5	6.67
	Preparation of an ISO 21001 audit	5	X		1	8.33	5	6.67
	Conducting an ISO 21001 audit	10		X	3	25.00	20	26.66
		5		X				
		5		X				
	Closing an ISO 21001 Audit	5		X	2	16.68	15	20.00
		10		X				
	Managing an ISO 21001 audit program	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 **70%**.

After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO 21001 Lead Auditor” credential, depending on their level of experience.

TAKE A CERTIFICATION EXAM

Candidates will be required to arrive at least thirty (30) minutes before the start 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.

All candidates are required to present a valid identity card such as a national ID card, driver's license, or passport to the invigilator.

The exam duration is three (3) hours. Non-native speakers receive an additional thirty (30) minutes.

The exam contains essay type questions: This type of format was selected as a means of determining whether an examinee can clearly answer training-related questions, by assessing problem-solving techniques and formulating arguments supported with reasoning and evidence. The exam is set to be "open book", and does not measure the recall of data or information. The examination evaluates the candidate's comprehension, application and analyzing skills. Therefore, candidates will have to justify their answers by providing concrete explanations as to demonstrate that they have been capable of understanding the training concepts. At the end of this document, you will find samples of exam questions and potential answers.

As the exam is "open book", candidates are authorized to use:

- A copy of the ISO 21001 standard;
- Course notes from the Participant Handout;
- Any personal notes made by the candidate during the course session; and
- A hard copy dictionary.

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

Any attempts to copy, collude or otherwise cheat during the exam will automatically lead to the failure of the exam.

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 within a period of 6 to 8 weeks from the examination date. The candidate will be provided with only two possible examination results: pass or fail, rather than an exact grade.

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

In case of exam failure, the results will be accompanied with the list of domains in which the candidate failed to fully answer the question(s). This can help the candidate better prepare for a retake exam.

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

EXAM RETAKE POLICY

There is no limit on the number of times a candidate may retake an exam. However, there are some limitations in terms of the allowed time frame in between exam retakes, such as:

- If a candidate does not pass the exam on the first attempt, he or she must wait 15 days for the next attempt (1st retake). Retake fee applies.

Note: *Candidates, who have completed the full training but failed the written 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 second attempt, he or she must wait 3 months (from the initial date of the exam) for the next attempt (2nd retake). Retake fee applies.
- If a candidate does not pass the exam on the third attempt, he or she must wait 6 months (from the initial date of the exam) for the next attempt (3rd retake). Retake fee applies.

After the fourth attempt, a waiting period of 12 months from the last session date is required, in order for the candidate to retake the same exam. Regular fee applies.

For the candidates that fail the exam in the 2nd retake, PECB recommends to attend an official training in order to be better prepared for the exam.

To arrange exam retakes (date, time, place, costs), the candidate needs to contact the PECB partner who has initially organized the session.

CLOSING A CASE

If an applicant does not apply for his or her certificate within three years, their case will be closed. Even though an applicant's certification period expires, they have the right to reopen their case. However, PECB will no longer be responsible for any changes regarding the conditions, standards, policies, candidate handbook or exam preparation guide that were applicable before the applicant's case was closed. Applicants requesting their case to reopen 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 behavior 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, he or she violates 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

Question 1

You have received a corrective action plan for review. Please evaluate the adequacy of the proposed corrective actions. If you agree with the proposed corrective actions, please explain why. If you do not agree with them, explain why and propose an alternative that you consider to be more adequate.

- **Nonconformity:** A nonconformity was observed because the Human Resources team was not aware of a procedure that requires them to record the education, training, and experience information of all employees.
- **Corrective action:** Inform (Timeframe: immediately) and train (Timeframe: within 6 months) the Human Resources team about this procedure and require that each member of the team follows it.

Possible answer:

I agree. This solves the problem of lack of awareness regarding the existence of a particular procedure. A sampling analysis would be performed during the surveillance audit to find out if the procedure is followed correctly.

Question 2

Please list at least five types of evidence that demonstrate an organization's conformity to **clause 6.2.1** Educational organization objectives and planning to achieve them.

Possible answer:

1. *Documented information of the EOMS objectives*
2. *Documented information of EOMS communication*
3. *Verbal evidence from staff regarding the EOMS communication*
4. *Records of EOMS monitoring and measurements*
5. *Documented information of the updated EOMS objectives*