



When Recognition Matters



EXAM PREPARATION GUIDE

PECB Certified ISO 50001 Lead Implementer

The objective of the “PECB Certified ISO 50001 Lead Implementer” examination is to ensure that the candidate has the knowledge and skills to support an organization in implementing and managing an Energy Management System (EnMS) based on ISO 50001:2011.

The target population for this examination is:

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

The exam content covers the following domains:

- Domain 1: Fundamental principles and concepts in Energy Management
- Domain 2: Energy Management best practices based on ISO 50001
- Domain 3: Planning an EnMS based on ISO 50001
- Domain 4: Implementing an EnMS based on ISO 50001
- Domain 5: Performance evaluation, monitoring and measurement of an EnMS based on ISO 50001
- Domain 6: Continual improvement of an EnMS based on ISO 50001
- Domain 7: Preparation for an EnMS certification audit

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts in Energy Management

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can understand, interpret and illustrate the main Energy Management concepts related to an Energy Management System (EnMS).

Competencies

1. Understand and explain the operations of the ISO organization and the development of Energy Management standards
2. Ability to identify, analyze and evaluate the Energy Management compliance requirements for an organization
3. Ability to explain and illustrate the main concepts in Energy Management.

Knowledge statements

1. Knowledge of the application of management principles to Energy Management
2. Knowledge of the main standards in Energy Management
3. Knowledge of the different sources of Energy Management requirement for an organization: laws, regulations, international and industry standards, contracts, market practices and internal policies
4. Knowledge of the main Energy Management concepts and terminology as described in ISO 50001
5. Knowledge of the concept of risk and its application in Energy Management
6. Knowledge of the difference between preventive, detective and corrective controls and their characteristics.

Domain 2: Energy Management Best Practice based on ISO 50001

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can understand, interpret and provide guidance on how to implement and manage Energy Management requirements based on best practices of ISO 50001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to identify, understand, classify and explain the clauses with requirements from ISO 50001 2. Ability to identify and briefly describe other Energy standards 3. Ability to research, identify, review and determine applicable Energy laws and regulations in a country where its organization is operating 4. Ability to detail and illustrate the requirements and best practices by concrete examples 5. Ability to compare possible solutions to an Energy Management issue of an organization and identify/analyze the strength and weakness of each solution 6. Ability to select and demonstrate the best Energy Management solution in order to address Energy Management objectives stated by the organization 7. Ability to create and justify an action plan to implement an Energy Management by listing the activities related 8. Ability to analyze, evaluate and validate action plans to implement a specific requirement. 	<ol style="list-style-type: none"> 1. Knowledge of operational planning and control 2. Knowledge of understanding and interpreting requirements deriving from clauses 4 to 4.7 of the ISO 50001 3. Knowledge of Energy Management strategy 4. Knowledge of other Energy standards 5. Knowledge of researching for applicable Energy laws and regulations in different countries 6. Knowledge on establishing monitoring and measurement procedures to maintain organization's Energy management system 7. Knowledge on compiling EnMS action plan including its activities 8. Knowledge on implementing and managing action plan to support EnMS implementation in an organization.

Domain 3: Planning an EnMS based on ISO 50001

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can plan the implementation of an EnMS in preparation for an ISO 50001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to manage an EnMS implementation project following project management best practices 2. Ability to gather, analyze and interpret the necessary information to plan the EnMS implementation 3. Ability to observe, analyze and interpret the external and internal environment of an organization 4. Ability to perform a gap analysis and clarify the Energy Management objectives of an organization 5. Ability to state and justify an EnMS scope adapted to the Energy objectives of a specific organization 6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization 7. Ability to perform the different steps of the risk assessment and risk treatment phases. 	<ol style="list-style-type: none"> 1. Knowledge of the main project management concepts, terminology, process and best practices 2. Knowledge of the principal approaches and methodology frameworks to implement an EnMS 3. Knowledge of the main concepts and terminology related to organizations 4. Knowledge of an organization's external and internal environment 5. Knowledge of the main interested parties related to an organization and their characteristics 6. Knowledge of techniques to gather information on an organization and to perform a gap analysis of a management system 7. Knowledge of the characteristics of an EnMS 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 EnMS of an organization.

Domain 4: Implementing an EnMS based on ISO 50001

Main objective: To ensure that an ISO 50001 Lead Implementer candidate can implement the processes of an EnMS required for an ISO 50001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 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 EnMS 2. Ability to define the document and record management processes needed to support the implementation and the operations of an EnMS 3. Ability to define and design processes and document them 4. Ability the define and writing a EnMS policy and Energy Management policies & procedures 5. Ability to implement the required processes and of an EnMS 6. Ability to define and implement appropriate Energy Management training, awareness and communication plans 7. Ability to define and implement an incident management process based on Energy Management best practices 8. Ability to transfer an EnMS project to operations and manage the change management process. 	<ol style="list-style-type: none"> 1. Knowledge of the roles and responsibilities of the key actors during the implementation of an EnMS and in its operation after the end of the implementation project 2. Knowledge of the main organizational structures applicable for an organization to manage Energy Management 3. Knowledge of the best practices on document and record management processes and the document management life cycle 4. Knowledge of the characteristics and the differences between the different documents related to EnMS: policy, procedure, guideline, standard, baseline and worksheets. 5. Knowledge of model-building controls and processes techniques and best practices 6. Knowledge of controls and processes deployment techniques and best practices 7. Knowledge of techniques and best practices to write Energy Management policies, procedures and others types of documents include in an EnMS 8. Knowledge of the characteristics and the best practices to implement Energy Management training, awareness and communication plans 9. Knowledge of the characteristics and main processes of an EnMS incident management process based on best practices 10. Knowledge of change management techniques best practices.

Domain 5: Performance evaluation, monitoring and measurement of an EnMS based on ISO 50001

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can evaluate, monitor and measure the performance of an EnMS in the context of an ISO 50001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to monitor and evaluate the effectiveness of an EnMS in operation 2. Ability to verify the extent to which identified requirements have been met 3. Ability to define and implemented an internal audit program for ISO 50001 4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an EnMS with policies and objectives of an organization 5. Ability to define and implement a management review process and counsel management on it. 	<ol style="list-style-type: none"> 1. Knowledge of the techniques and best practices to monitor the effectiveness of an EnMS 2. Knowledge of the main concepts and components related to an Energy Management Measurement Programme: measures, attributes, indicators and dashboard. 3. Knowledge of the characteristics and the differences between an operational, tactical and strategic Energy Management indicators and dashboard 4. Knowledge of the techniques and methods to define and document an adequate and reliable indicators 5. Knowledge of the main concepts and components related to the implementation and operation of an EnMS 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 EnMS based on ISO 50001

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can provide guidance on the Continual improvement of an EnMS in the context of ISO 50001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the principle and concepts related to continual improvement 2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of an EnMS 3. Ability to implement EnMS continual improvement processes in an organization 4. Ability to determine the appropriate business improvement tools to support continual improvement processes of a specific organization 5. Ability to identify, analyze the root-causes of nonconformities and proposed action plans to treat them 6. Ability to identify, analyze the root-cause of potential nonconformities and proposed action plans to treat them. 	<ol style="list-style-type: none"> 1. Knowledge of the main concepts related to continual improvement 2. Knowledge of the characteristics and the difference between the concept of effectiveness and the efficiency 3. Knowledge of the concept and techniques to perform a benchmarking 4. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities 5. Knowledge of the characteristics and the difference between corrective actions and preventive actions 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 EnMS certification audit

Main objective: To ensure that the ISO 50001 Lead Implementer candidate can prepare and assist an organization for the certification of an EnMS against the ISO 50001 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the main steps, processes and activities related to an ISO 50001 certification audit 2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 50001 audit 3. Ability to counsel an organization to identify and select a certification body that meets their needs 4. Ability to review the readiness of an organization for an ISO 50001 certification audit 5. Ability to coach and prepare the personnel of an organization for an ISO 50001 certification audit 6. Ability to argue and challenge the audit findings and conclusions with external auditors. 	<ol style="list-style-type: none"> 1. Knowledge of the evidence based approach in an audit 2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal 3. Knowledge of the difference of the stage 1 audit and the stage 2 audit 4. Knowledge of stage 1 audit requirements, steps and activities 5. Knowledge of the documentation review criteria 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 an ISO 50001 certification audit.

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

		Question Number	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 Energy Management	1	5	X		2	16.67	20	26.67
		2	5	X					
	Energy Management Best Practices based on ISO 50001	4	10	X		3	25.00	15	20.00
		3	5	X					
		6	10	X					
	Planning an EnMS based on ISO 50001	11	5		X	1	8.33	5	6.67
	Implementing an EnMS based on ISO 50001	8	5		X	3	25.00	10	13.33
		12	5		X				
		7	5		X				
	Performance evaluation, monitoring and measurement of an EnMS based on ISO 50001	10	10		X	1	8.33	15	20.00
Continual improvement of an OHSMS based on ISO 45001	9	5		X	1	8.33	5	6.67	
Preparing for an OHSMS certification audit	5	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 50001 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 exams are "open book"; candidates are only authorized to use:

- A copy of the ISO 50001:2011 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. Evidence in an audit

For each of the following clauses of the ISO 50001 standard, please provide at least two different evidences that would be acceptable to ensure conformity to the clause.

- **4.6.4 Nonconformities, correction, corrective action and preventive action::**

Possible answers:

- Elaboration and communication of a documented procedure defining how to identify nonconformities and how to treat them.
- Maintenance of an updated list of corrective actions showing the responsible person, the status and the deadline for each corrective action.

2. Evaluation of corrective actions

For each of the following clauses of the ISO 50001 standard, please provide two examples of metrics that would be acceptable to measure the conformity to the clause

- **4.7 Management Review**

Possible answers:

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

3. Writing of a test plan

Write a test plan to validate the following clause identifying the different applicable audit procedures (observation, documentation review, interview, technical verification and analysis):

- **Clause 4.5.4 (extract): Documents required by the environmental management system and by this International Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.6.5**

Possible answers:

Clause 4.5.4 (extract): Documents required by the environmental management system and by this International Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.6.5	
Observation	Observe how employees ensure the protection of documented information and whether those actions are consistent with the policies and procedures of the organization
Document	Policy on documented information management and procedures on information lifecycle management: their identification, storage, backup, protection, accessibility and conservation
Interview	Member of management (to confirm policies and the organization's needs related to documented information) and the personnel responsible for information management and archiving (to obtain the documented information management details)
Technical verification	Validate the electronic structure for classifying and storing of documented information, verify the protection mechanisms of them, observe the compilation of the automated journals report
Analysis	Select documented information samples and verify if they respect the documentation structure and policy criteria on documented information