PECB

BEYOND RECOGNITION

ISO 22301
LEAD AUDITOR

Candidate Handbook

PECB

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SECTION I: INTRODUCTION

About PECB

PECB is a certification body that provides education[1], certification, and certificate programs for individuals on a wide range of disciplines.

Through our presence in more than 150 countries, we help professionals demonstrate their competence in various areas of expertise by providing valuable evaluation, certification, and certificate programs against internationally recognized standards.

Our key objectives are:
1. Establishing the minimum requirements necessary to certify professionals and to grant designations
2. Reviewing and verifying the qualifications of individuals to ensure they are eligible for certification
3. Maintaining and continually improving the evaluation process for certifying individuals
4. Certifying qualified individuals, granting designations and maintaining respective directories
5. Establishing requirements for the periodic renewal of certifications and ensuring that the certified individuals are complying with those requirements
6. Ascertaining that PECB professionals meet ethical standards in their professional practice
7. Representing our stakeholders in matters of common interest
8. Promoting the benefits of certification and certificate programs to professionals, businesses, governments, and the public

Our mission

Provide our clients with comprehensive examination, certification, and certificate program services that inspire trust and benefit the society as a whole.

Our vision

Become the global benchmark for the provision of professional certification services and certificate programs.

Our values

Integrity, Professionalism, Fairness

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[1] Education refers to training courses developed by PECB and offered globally through our partners.

The Value of PECB Certification

Global recognition

PECB credentials are internationally recognized and endorsed by many accreditation bodies, so professionals who pursue them will benefit from our recognition in domestic and international markets.

The value of PECB certifications is validated by the accreditation from the International Accreditation Service (IAS-PCB-111), the United Kingdom Accreditation Service (UKAS-No. 21923) and the Korean Accreditation Board (KAB-PC-08) under ISO/IEC 17024 – General requirements for bodies operating certification of persons. The value of PECB certificate programs is validated by the accreditation from the ANSI National Accreditation Board (ANAB-Accreditation ID 1003) under ANSI/ASTM E2659-18, Standard Practice for Certificate Programs.

PECB is an associate member of The Independent Association of Accredited Registrars (IAAR), a full member of the International Personnel Certification Association (IPC), a signatory member of IPC MLA, and a member of Club EBIOS, CPD Certification Service, CLUSIF, Credential Engine, and ITCC. In addition, PECB is an approved Licensed Partner Publisher (LPP) from the Cybersecurity Maturity Model Certification Accreditation Body (CMMC-AB) for the Cybersecurity Maturity Model Certification standard (CMMC), is approved by Club EBIOS to offer the EBIOS Risk Manager Skills certification, and is approved by CNIL (Commission Nationale de l'Informatique et des Libertés) to offer DPO certification. For more detailed information, click here.

High-quality products and services

We are proud to provide our clients with high-quality products and services that match their needs and demands. All of our products are carefully prepared by a team of experts and professionals based on the best practices and methodologies.

Compliance with standards

Our certifications and certificate programs are a demonstration of compliance with ISO/IEC 17024 and ASTM E2659. They ensure that the standard requirements have been fulfilled and validated with adequate consistency, professionalism, and impartiality.

Customer-oriented service

We are a customer-oriented company and treat all our clients with value, importance, professionalism, and honesty. PECB has a team of experts who are responsible for addressing requests, questions, and needs. We do our best to maintain a 24-hour maximum response time without compromising the quality of the services.

Flexibility and convenience

Online learning opportunities make your professional journey more convenient as you can schedule your learning sessions according to your lifestyle. Such flexibility gives you more free time, offers more career advancement opportunities, and reduces costs.

PECB Code of Ethics

The Code of Ethics represents the highest values and ethics that PECB is fully committed to follow, as it recognizes the importance of them when providing services and attracting clients.

The Compliance Division makes sure that PECB employees, trainers, examiners, invigilators, partners, distributors, members of different advisory boards and committees, certified individuals, and certificate holders (hereinafter "PECB professionals") adhere to this Code of Ethics. In addition, the Compliance Division consistently emphasizes the need to behave professionally and with full responsibility, competence, and fairness in service provision with internal and external stakeholders, such as applicants, candidates, certified individuals, certificate holders, accreditation authorities, and government authorities.

It is PECB's belief that to achieve organizational success, it has to fully understand the clients and stakeholders' needs and expectations. To do this, PECB fosters a culture based on the highest levels of integrity, professionalism, and fairness, which are also its values. These values are integral to the organization, and have characterized the global presence and growth over the years and established the reputation that PECB enjoys today.

PECB believes that strong ethical values are essential in having healthy and strong relationships. Therefore, it is PECB's primary responsibility to ensure that PECB professionals are displaying behavior that is in full compliance with PECB principles and values.

PECB professionals are responsible for:
1. Displaying professional behavior in service provision with honesty, accuracy, fairness, and independence
2. Acting at all times in their service provision solely in the best interest of their employer, clients, the public, and the profession in accordance with this Code of Ethics and other professional standards
3. Demonstrating and developing competence in their respective fields and striving to continually improve their skills and knowledge
4. Providing services only for those that they are qualified and competent and adequately informing clients and customers about the nature of proposed services, including any relevant concerns or risks
5. Informing their employer or client of any business interests or affiliations which might influence or impair their judgment
6. Preserving the confidentiality of information of any present or former employer or client during service provision
7. Complying with all the applicable laws and regulations of the jurisdictions in the country where the service provisions were conducted
8. Respecting the intellectual property and contributions of others
9. Not communicating intentionally false or falsified information that may compromise the integrity of the evaluation process of a candidate for a PECB certification or a PECB certificate program
10. Not falsely or wrongly presenting themselves as PECB representatives without a proper license or misusing PECB logo, certifications or certificates
11. Not acting in ways that could damage PECB's reputation, certifications or certificate programs
12. Cooperating in a full manner on the inquiry following a claimed infringement of this Code of Ethics

To read the complete version of PECB's Code of Ethics, go to Code of Ethics | PECB.

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Introduction to ISO 22301 Lead Auditor

ISO 22301, as the pioneering international standard for business continuity management, offers a comprehensive framework for implementing, maintaining, and continually improving a business continuity management system (BCMS). This standard is designed to equip organizations with the necessary structure for ensuring uninterrupted operations in the face of various disruptions and contingencies. In this context, organizations are not only responsible for establishing their BCMS but also for ensuring that the implemented controls and processes contribute to achieving the intended outcomes. Auditing serves as the essential mechanism for organizations to assess the effectiveness of their BCMS and subsequently enhance its performance.

The PECB ISO 22301 training course is designed to equip participants with the knowledge and skills needed to plan and conduct audits proficiently in accordance with ISO 22301 certification procedures. This training course provides information on audit techniques, best practices, and the management of audit teams and programs.

Considering the consistent demand for professionals in auditing, an internationally recognized certification can be a strategic asset for achieving career aspirations. The "ISO 22301 Lead Auditor" credential, tailored for individuals aspiring to demonstrate their competence in auditing the BCMS and leading audit teams, represents a significant milestone in professional development.

PECB certifications are not a license or simply a membership. They attest the candidates' knowledge and skills gained through our training courses and are issued to candidates that have the required experience and have passed the exam.

This document specifies the PECB ISO 22301 Lead Auditor certification scheme in compliance with ISO/IEC 17024:2012. It also outlines the steps that candidates should take to obtain and maintain 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 the PECB international office at certification.team@pecb.com.

SECTION II: EXAMINATION PREPARATION, RULES, AND POLICIES

Preparing for and scheduling the exam

All candidates are responsible for their own study and preparation for certification exams. Although candidates are not required to attend the training course to be eligible for taking the exam, attending it can significantly increase their chances of successfully passing the exam.

To schedule the exam, candidates have two options:
1. Contact one of our authorized partners. To find an authorized partner in your region, please go to Active Partners. The training course schedule is also available online and can be accessed on Training Events.
2. Take a PECB exam remotely through the PECB Exams application. To schedule a remote exam, please go to the following link: Exam Events.

To learn more about exams, competency domains, and knowledge statements, please refer to *Section III* of this document.

Rescheduling the exam

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

Application fees for examination and certification

Candidates may take the exam without attending the training course. The applicable prices are as follows:
*   Lead Exam: $1000[2]
*   Manager Exam: $700
*   Foundation Exam: $500
*   Transition Exam: $500

The application fee for certification is $500.

For the candidates that have attended the training course via one of PECB's partners, the application fee covers the costs of the exam (first attempt and first retake), the application for certification, and the first year of Annual Maintenance Fee (AMF).

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[2] All prices listed in this document are in US dollars.

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Competency domains

The "ISO 22301 Lead Auditor" credential represents a professional certification specifically tailored for individuals seeking to showcase their proficiency in auditing a BCMS and taking a leadership role within an audit team.

In the current market, one of the most in-demand skills centers on the capability to plan and conduct audits efficiently while following auditing standards and best practices. This capability encompasses the application of audit techniques and best practices, along with the skills to lead or be an integral part of audit teams and programs.

The ISO 22301 Lead Auditor certification is intended for:
• Auditors seeking to perform and lead business continuity management system (BCMS) audits
• Managers or consultants seeking to master the BCMS audit process
• Individuals responsible for maintaining conformity to the BCMS requirements in an organization
• Technical experts seeking to prepare for BCMS audits
• Expert advisors in business continuity management

The content of the exam is divided as follows:
• **Domain 1:** Fundamental principles and concepts of a business continuity management system
• **Domain 2:** Business continuity management system requirements
• **Domain 3:** Fundamental audit concepts and principles
• **Domain 4:** Preparing an ISO 22301 audit
• **Domain 5:** Conducting an ISO 22301 audit
• **Domain 6:** Closing an ISO 22301 audit
• **Domain 7:** Managing an ISO 22301 audit program

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Domain 1: Fundamental principles and concepts of a business continuity management system

Main objective: Ensure that the candidate is able to explain and apply ISO 22301 principles and concepts.

Competencies	Knowledge statements
1. Ability to define management system, business continuity management system, and integrated management system	1. Knowledge of the definitions of management system, business continuity management system, and integrated management system
2. Ability to explain the use and applicability of ISO 22301	2. Knowledge of the use and applicability of ISO 22301
3. Ability to explain the relationship between ISO 22301 and other standards	3. Knowledge of the ISO 22300 family of standards
4. Ability to discuss the advantages of a BCMS based on ISO 22301	4. Knowledge of the advantages of a BCMS based on ISO 22301
5. Ability to describe the certification process and the roles and responsibilities of the parties involved in the certification scheme	5. Knowledge of the certification process and the roles and responsibilities of the parties involved in the certification scheme
6. Ability to explain terms and definitions related to business continuity	6. Knowledge of the main concepts and principles of business continuity
7. Ability to explain the differences between business continuity and disaster recovery	7. Knowledge of the differences between business continuity and disaster recovery
8. Ability to conduct a business impact analysis	8. Knowledge of main steps for conducting a business impact analysis

Domain 2: Business continuity management system requirements

Main objective: Ensure that the candidate is able to identify and explain the requirements for a business continuity management system (BCMS) based on ISO 22301.

Competencies	Knowledge statements
1. Ability to explain the PDCA cycle 2. Ability to interpret the requirements of ISO 22301 regarding the context of the organization (clause 4) 3. Ability to interpret the requirements of ISO 22301 regarding the leadership and commitment of the top management regarding the BCMS (clause 5) 4. Ability to interpret ISO 22301 requirements regarding the planning for a BCMS (clause 6) 5. Ability to interpret ISO 22301 requirements regarding the support required for a BCMS (clause 7) 6. Ability to interpret ISO 22301 requirements regarding the operation of a BCMS (clause 8) 7. Ability to interpret ISO 22301 requirements regarding the evaluation of the performance of a BCMS (clause 9) 8. Ability to interpret ISO 22301 requirements regarding the improvement of a BCMS (clause 10)	1. Knowledge of the PDCA cycle for the BCMS implementation 2. Knowledge of the requirements of clause 4 *Context of the organization* of ISO 22301 3. Knowledge of the requirements of clause 5 *Leadership* of ISO 22301 4. Knowledge of the requirements of clause 6 *Planning* of ISO 22301 5. Knowledge of the requirements of clause 7 *Support* of ISO 22301 6. Knowledge of the requirements of clause 8 *Operation* of ISO 22301 7. Knowledge of the requirements of clause 9 *Performance evaluation* of ISO 22301 8. Knowledge of the requirements of clause 10 *Improvement* of ISO 22301

Domain 3: Fundamental audit concepts and principles

Main objective: Ensure that the candidate is able to interpret and apply the main concepts and principles related to a BCMS audit.

Competencies	Knowledge statements
1. Ability to interpret the definition of an audit	1. Knowledge of the definition of an audit
2. Ability to differentiate between first, second, and third party audits	2. Knowledge of the characteristics of first, second, and third party audits
3. Ability to differentiate between the audit client, auditee, audit team, and auditor	3. Knowledge of the definitions of audit client, auditee, audit team, and auditor based on ISO 19011
4. Ability to differentiate between the technical expert, guide, and observer	4. Knowledge of the definitions of technical expert, guide, and observer based on ISO 19011
5. Ability to explain and apply audit principles in a BCMS audit	5. Knowledge of the audit principles as outlined in ISO 19011
6. Ability to discuss the required competence that auditors need for an audit	6. Knowledge of the generic knowledge and skills that auditors should have to conduct an audit
7. Ability to explain the responsibilities and competencies of the audit team leader	7. Knowledge of the responsibilities of the audit team leader
8. Ability to interpret the impact of trends and technology, such as big data and artificial intelligence in auditing	8. Knowledge of the usage of big data and other technologies in an audit
9. Ability to explain and distinguish between different types of audit evidence	9. Knowledge of the different types of audit evidence, such as physical, mathematical, confirmative, technical, analytical, documentary, and verbal
10. Ability to determine the reliability of audit evidence	10. Knowledge of the main factors that determine the reliability of audit evidence

Domain 4: Preparing an ISO 22301 audit

Main objective: Ensure that the candidate is able to prepare a BCMS audit.

Competencies	Knowledge statements
1. Ability to apply the risk-based approach during the different stages of a BCMS audit 2. Ability to determine the level of materiality of processes during the different stages of a BCMS audit 3. Ability to obtain the appropriate level of reasonable assurance needed for a BCMS audit 4. Ability to discuss the components of the audit offer 5. Ability to define and explain the roles and responsibilities of the audit team leader, audit team members, and technical experts 6. Ability to determine the audit feasibility 7. Ability to discuss and confirm the audit objectives, criteria, and scope for a BCMS audit 8. Ability to apply best practices when establishing initial contact with an auditee 9. Ability to define the audit schedule	1. Knowledge of the risk-based approach to an audit and the different types of risks related to audit activities, such as inherent risk, control risk, and detection risk 2. Knowledge of the concept of materiality and its application in an audit 3. Knowledge of the concept of reasonable assurance and its application in an audit 4. Knowledge of the components of the audit offer 5. Knowledge of the roles and responsibilities of the audit team leader, audit team members, and technical experts 6. Knowledge of the notion of audit feasibility and the factors that should be considered when determining audit feasibility 7. Knowledge of aspects to consider when establishing the audit objectives, criteria, and scope for a BCMS audit 8. Knowledge of best practices to establish initial contact with an auditee 9. Knowledge of steps to define the audit schedule

Domain 5: Conducting an ISO 22301 audit

Main objective: Ensure that the candidate is able to conduct a BCMS audit.

Competencies	Knowledge statements
1. Ability to discuss the objectives of the stage 1 audit	1. Knowledge of the objectives of the stage 1 audit
2. Ability to undertake the activities of the stage 1 audit	2. Knowledge of the activities to be undertaken during the stage 1 audit
3. Ability to document the stage 1 audit outputs	3. Knowledge of aspects that need to be covered in the stage 1 audit report
4. Ability to discuss the objectives of the stage 2 audit	4. Knowledge of the stage 2 audit objectives
5. Ability to prepare for the stage 2 audit, such as assigning work to the audit team, preparing audit test plans, and preparing the documented information for the stage 2 audit	5. Knowledge of steps for preparing for the stage 2 audit, such as assigning work to the audit team, preparing audit test plans, and preparing the documented information for the stage 2 audit
6. Ability to conduct the stage 2 audit activities	6. Knowledge of the main activities of the stage 2 audit, such as conducting the opening meeting, collecting information, conducting audit tests, and determining the audit findings
7. Ability to explain and apply evidence collection procedures and tools	7. Knowledge of evidence collection procedures and tools, such as interviews, documented information review, observation, analysis, sampling, and technical verification
8. Ability to describe and apply the main audit sampling methods	8. Knowledge of the main audit sampling methods and their characteristics
9. Ability to differentiate between the types of audit findings	9. Knowledge of types of possible audit findings: conformity, minor nonconformity, major nonconformity, anomaly, and observation
10. Ability to develop a nonconformity report	10. Knowledge of best practices to draft nonconformity reports
11. Ability to explain and apply the concept of the benefit of the doubt	11. Knowledge of the concept of benefit of the doubt and its application in an audit
12. Ability to conduct quality reviews to audit records	12. Knowledge of the guidelines for conducting quality reviews of audit records

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Domain 6: Closing an ISO 22301 audit

Main objective: Ensure that the candidate is able to conclude a BCMS audit and conduct audit follow-up activities.

Competencies	Knowledge statements
1. Ability to draft audit conclusions and discuss them with the auditee 2. Ability to organize and conduct a closing meeting 3. Ability to develop the audit report 4. Ability to conduct the activities following an initial audit, including the evaluation of action plans, audit follow-up activities, and surveillance activities 5. Ability to plan and conduct recertification audits	1. Knowledge of components of audit conclusions and best practices for presenting audit conclusions to the auditee 2. Knowledge of the closing meeting agenda and other topics to address in the closing meeting 3. Knowledge of the contents of the audit report 4. Knowledge of activities that should be undertaken during audit follow ups and surveillance audits 5. Knowledge of the recertification audit requirements, steps, and activities, and conditions for the modification, extension, suspension, or withdrawal of an organization's certification

Domain 7: Managing an ISO 22301 audit program

Main objective: Ensure that the candidate is able to establish and manage a BCMS audit program.

Competencies	Knowledge statements
1. Ability to explain and establish an audit program based on the PDCA cycle	1. Knowledge of an audit program and the role of the PDCA cycle in its management
2. Ability to differentiate between internal and external audits	2. Knowledge of the differences between internal and external audits
3. Ability to discuss the role of the internal audit function within an organization	3. Knowledge of the roles and responsibilities of the internal audit function
4. Ability to identify and undertake the main internal audit activities	4. Knowledge of the main internal audit activities
5. Ability to identify and manage audit program resources	5. Knowledge of the best practices regarding the management of audit resources
6. Ability to manage and maintain audit program records	6. Knowledge of the guidelines for the management of audit records
7. Ability to follow up on nonconformities	7. Knowledge of appropriate nonconformity follow-up procedures
8. Ability to monitor, evaluate, review, and improve an audit program	8. Knowledge of monitoring, evaluation, review, and improvement processes regarding an audit program

Based on the above-mentioned domains and their relevance, the exam contains 80 multiple-choice questions, as summarized in the table below:

	Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain	Level of understanding (Cognitive/Taxonomy) required	
			Questions that measure comprehension, application, and analysis	Questions that measure evaluation
Fundamental principles and concepts of a business continuity management system	13	16.25	X	
Business continuity management system requirements	8	10	X	
Fundamental audit concepts and principles	14	17.5		X
Preparing an ISO 22301 audit	10	12.5	X	
Conducting an ISO 22301 audit	20	25		X
Closing an ISO 22301 audit	5	6.25		X
Managing an ISO 22301 audit program	10	12.5		X
Total	**80**	**100%**		
Number of questions per level of understanding			**31**	**49**
% of the exam devoted to each level of understanding (cognitive/taxonomy)			**38.75%**	**61.25%**

(Competency domains)

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

After successfully passing the exam, candidates will be able to apply for obtaining the "PECB Certified ISO 22301 Lead Auditor" credential.

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Taking the exam

General information about the exam

Candidates are required to arrive/be present at least 30 minutes before the exam starts.

Candidates who arrive late will not be given additional time to compensate for the late arrival and may not be allowed to sit for the exam.

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

If requested on the day of the exam (paper-based exams), additional time can be provided to candidates taking the exam in a non-native language, as follows:
• 10 additional minutes for Foundation exams
• 20 additional minutes for Manager exams
• 30 additional minutes for Lead exams

PECB exam format and type
1. **Paper-based:** Exams are provided on paper, where candidates are not allowed to use anything but the exam paper and a pen. The use of electronic devices, such as laptops, tablets, or phones, is not allowed. The exam session is supervised by a PECB approved Invigilator at the location where the Partner has organized the training course.
2. **Online:** Exams are provided electronically via the PECB Exams application. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PECB Invigilator via the PECB Exams application and an external/integrated camera.

For more information about online exams, go to the [PECB Online Exam Guide](#).

PECB exams are available in two types:
1. Essay-type question exam
2. Multiple-choice question exam

This exam comprises multiple-choice questions: The multiple-choice exam can be used to evaluate candidates' understanding on both simple and complex concepts. It comprises both stand-alone and scenario-based questions. Stand-alone questions stand independently within the exam and are not context-depended, whereas scenario-based questions are context-dependent, i.e., they are developed based on a scenario which a candidate is asked to read and is expected to provide answers to five questions related to that scenario. When answering stand-alone and scenario-based questions, candidates will have to apply various concepts and principles explained during the training course, analyze problems, identify and evaluate alternatives, combine several concepts or ideas, etc.

Each multiple-choice question has three options, of which one is the correct response option (keyed response) and two incorrect response options (distractors).

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This is an open-book exam. The candidate is allowed to use the following reference materials:
- A hard copy of the ISO 22301 standard
- Training course materials (accessed through the PECB Exams app and/or printed)
- Any personal notes taken during the training course (accessed through the PECB Exams app and/or printed)
- A hard copy dictionary

A sample of exam questions will be provided below.

Note: PECB will progressively transition to multiple-choice exams. They will also be open book and comprise scenario-based questions that will allow PECB to evaluate candidates' knowledge, abilities, and skills to use information in new situations (apply), draw connections among ideas (analyze), and justify a stand or decision (evaluate).

For specific information about exam types, languages available, and other details, please contact examination.team@pecb.com or go to the List of PECB Exams.

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Sample exam questions

DigiFocus, a leading global provider of advanced optoelectronics and precision technology products, particularly known for its cameras, has implemented a robust business continuity management system (BCMS) based on ISO 22301 and is currently pursuing certification against this international standard.

DigiFocus's top management contracted two auditing organizations to conduct the audit. The audit team was established and an audit team leader was appointed, who had a key role in ensuring a smooth audit process, minimizing potential conflicts, and overseeing the ongoing professional development and certification requirements of the auditee's staff.

The audit team leader was particularly focused on adopting a risk-based approach to planning the audit. This strategy was guided by the information set out in the audit program and the documentation supplied by *DigiFocus.* By assessing the potential risks to the auditee's processes, the audit team leader ensured that the audit planning was aligned with the audit objectives and considered the possible impacts on *DigiFocus*' daily operations. Such planning was pivotal for the effective scheduling and coordination of audit activities.

During the audit, the audit team reviewed relevant documented information provided by the auditee. To optimize the audit process, they selected a sample of documents using a fixed interval between each document. This method was statistically reliable, simple to use, and faster to perform in comparison to other methods. While examining some employee records, the audit team discovered that some employees lacked the necessary qualifications to perform their roles effectively.

The audit team applied diligence and made reasoned judgments in all audit situations. After collecting sufficient evidence during the audit, the findings that were obtained by the audit team were presented to the auditee.

Based on the scenario above, answer the following question:

1. **Which of the following is the audit team leader not responsible for?**
    A. **Oversee the professional development of the staff**
    B. Ensure a smooth audit process
    C. Minimize potential conflicts

2. **What type of audit was conducted at *DigiFocus*?**
    A. **Joint**
    B. Combined
    C. Integrated

3. **The audit team leader adopted a risk-based approach based on the documented information that was provided by *DigiFocus*'s top management. Is this acceptable?**
    A. No, the audit team leader should only accept employee-related documents from the employees in question themselves
    B. **Yes, the audit team leader should adopt a risk-based approach based on the documents that are provided by the auditee**

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    C.   No, the audit team leader in this case should adopt a compliance testing approach to review the documented information provided by the company

4. **The audit team applied diligence and made reasoned judgments in all audit situations. Which audit principle did they apply in this case?**
   A. Independence
   B. Confidentiality
   C. **Due professional care**

5. **Which of the following sampling methods did the audit team use during the audit?**
   A. Random sampling
   B. **Systematic sampling**
   C. Stratified sampling

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Exam Security Policy

PECB is committed to protect the integrity of its exams and the overall examination process, and relies upon the ethical behavior of applicants, potential applicants, candidates and partners to maintain the confidentiality of PECB exams. This Policy aims to address unacceptable behavior and ensure fair treatment of all candidates.

Any disclosure of information about the content of PECB exams is a direct violation of this Policy and PECB's Code of Ethics. Consequently, candidates taking a PECB exam are required to sign an Exam Confidentiality and Non-Disclosure Agreement and must comply with the following:

1. The questions and answers of the exam materials are the exclusive and confidential property of PECB. Once candidates complete the submission of the exam to PECB, they will no longer have any access to the original exam or a copy of it.
2. Candidates are prohibited from revealing any information regarding the questions and answers of the exam or discuss such details with any other candidate or person.
3. Candidates are not allowed to take with themselves any materials related to the exam, out of the exam room.
4. Candidates are not allowed to copy or attempt to make copies (whether written, photocopied, or otherwise) of any exam materials, including, without limitation, any questions, answers, or screen images.
5. Candidates must not participate nor promote fraudulent exam-taking activities, such as:
    *   Looking at another candidate's exam material or answer sheet
    *   Giving or receiving any assistance from the invigilator, candidate, or anyone else
    *   Using unauthorized reference guides, manuals, tools, etc., including using "brain dump" sites as they are not authorized by PECB

Once a candidate becomes aware or is already aware of the irregularities or violations of the points mentioned above, they are responsible for complying with those, otherwise if such irregularities were to happen, candidates will be reported directly to PECB or if they see such irregularities, they should immediately report to PECB.

Candidates are solely responsible for understanding and complying with PECB Exam Rules and Policies, Confidentiality and Non-Disclosure Agreement and Code of Ethics. Therefore, should a breach of one or more rules be identified, candidates will not receive any refunds. In addition, PECB has the right to deny the right to enter a PECB exam or to invite candidates for an exam retake if irregularities are identified during and after the grading process, depending on the severity of the case.

Any violation of the points mentioned above will cause PECB irreparable damage for which no monetary remedy can make up. Therefore, PECB can take the appropriate actions to remedy or prevent any unauthorized disclosure or misuse of exam materials, including obtaining an immediate injunction. PECB will take action against individuals that violate the rules and policies, including permanently banning them from pursuing PECB credentials and revoking any previous ones. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

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Exam results

Exam results will be communicated via email.

- The time span for the communication 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 certification scheme.

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.

Candidates that disagree with the results may request a re-evaluation by writing to examination.team@pecb.com within 30 days of receiving the results. Re-evaluation requests received after 30 days will not be processed. If candidates do not agree with the results of the reevaluation, they have 30 days from the date they received the reevaluated exam results to file a complaint through the PECB Ticketing System. Any complaint received after 30 days will not be processed.

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.

If a candidate does not pass the exam on the 1st attempt, they must wait 15 days after the initial date of the exam for the next attempt (1st retake).

Note: Candidates who have completed the training course with one of our partners, and failed the first exam attempt, are eligible to retake for free the exam within a 12-month period from the date the coupon code is received (the fee paid for the training course, includes a first exam attempt and one retake). Otherwise, retake fees apply.

For candidates that fail the exam retake, PECB recommends they attend a training course in order to be better prepared for the exam.

To arrange exam retakes, based on exam format, candidates that have completed a training course, must follow the steps below:
1. Online Exam: when scheduling the exam retake, use initial coupon code to waive the fee
2. Paper-Based Exam: candidates need to contact the PECB Partner/Distributor who has initially organized the session for exam retake arrangement (date, time, place, costs).

Candidates that have not completed a training course with a partner, but sat for the online exam directly with PECB, do not fall under this Policy. The process to schedule the exam retake is the same as for the initial exam.

SECTION III: CERTIFICATION PROCESS AND REQUIREMENTS

PECB ISO 22301 credentials

All PECB certifications have specific requirements regarding education and professional experience. To determine which credential is right for you, take into account your professional needs and analyze the criteria for the certifications.

The credentials in the PECB ISO 22301 scheme have the following requirements:

Credential	Education	Exam	Professional experience	MS audit/assessment experience	Other requirements
PECB Certified ISO 22301 Provisional Auditor	At least secondary education	PECB Certified ISO 22301 Lead Auditor exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO 22301 Auditor			Two years: One year of work experience in business continuity management	Audit activities: a total of 200 hours	
PECB Certified ISO 22301 Lead Auditor			Five years: Two years of work experience in business continuity management	Audit activities: a total of 300 hours	
PECB Certified ISO 22301 Senior Lead Auditor			Ten years: Seven years of work experience in business continuity management	Audit activities: a total of 1,000 hours	

To be considered valid, the audit activities should follow best audit practices and include the following:
1. Planning an audit
2. Managing an audit program
3. Drafting audit reports
4. Drafting nonconformity reports
5. Drafting audit working documents
6. Reviewing and managing documented information related to the audit
7. Conducting on-site audits
8. Following up on nonconformities
9. Leading an audit team

Applying for certification

All candidates who successfully pass the exam (or an equivalent accepted by PECB) are entitled to apply for the PECB credential they were assessed for. Specific educational and professional requirements need to be fulfilled in order to obtain a PECB certification. Candidates are required to fill out the online certification application form (that can be accessed via their PECB account), including contact details of individuals who

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will be contacted to validate the candidates' professional experience. Candidates can submit their application in English, French, German, Spanish or Korean languages. They can choose to either pay online or be billed. For additional information, please contact certification.team@pecb.com.

The online certification application process is very simple and takes only a few minutes:
•   Register your account
•   Check your email for the confirmation link
•   Log in to apply for certification

For more information on how to apply for certification, click here.

The Certification Department validates that the candidate fulfills all the certification requirements regarding the respective credential. The candidate will receive an email about the application status, including the certification decision.

Following the approval of the application by the Certification Department, the candidate will be able to download the certificate and claim the corresponding Digital Badge. For more information about downloading the certificate, click here, and for more information about claiming the Digital Badge, click here.

PECB provides support both in English and French.

Professional experience
Candidates must provide complete and correct information regarding their professional experience, including job title(s), start and end date(s), job description(s), and more. Candidates are advised to summarize their previous or current assignments, providing sufficient details to describe the nature of the responsibilities for each job. More detailed information can be included in the résumé.

Professional references
For each application, two professional references are required. They must be from individuals who have worked with the candidate in a professional environment and can validate their business continuity management experience, as well as their current and previous work history. Professional references of persons who fall under the candidate's supervision or are their relatives are not valid.

BCMS audit experience
The candidate's audit log will be checked to ensure that they have completed the required number of audit hours. The following audit types constitute valid audit experience: pre-audit, internal audits, second party audits, or third party audits.

Evaluation of certification applications
The Certification Department will evaluate each application to validate the candidates' eligibility for certification or certificate program. A candidate whose application is being reviewed will be notified in writing and, if necessary, given a reasonable time frame to provide any additional documentation. If a candidate does not respond by the deadline or does not provide the required documentation within the given

time frame, the Certification Department will validate the application based on the initial information provided, which may lead to the candidates' credential downgrade.

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SECTION IV: CERTIFICATION POLICIES

Denial of certification

PECB can deny certification/certificate program if candidates:
- Falsify the application
- Violate the exam procedures
- Violate the PECB Code of Ethics

Candidates whose certification/certificate program has been denied can file a complaint through the complaints and appeals procedure. For more detailed information, refer to **Complaint and Appeal Policy** section.

The application payment for the certification/certificate program is nonrefundable.

Certification status options

Active

Means that your certification is in good standing and valid, and it is being maintained by fulfilling the PECB requirements regarding the CPD and AMF.

Suspended

PECB can temporarily suspend candidates' certification if they fail to meet the requirements. Other reasons for suspending certification include:
- PECB receives excessive or serious complaints by interested parties (suspension will be applied until the investigation has been completed.)
- The logos of PECB or accreditation bodies are willfully misused.
- The candidate fails to correct the misuse of a certification mark within the determined time by PECB.
- The certified individual has voluntarily requested a suspension.
- PECB deems appropriate other conditions for suspension of certification.

Revoked

PECB can revoke (that is, to withdraw) the certification if the candidate fails to satisfy its requirements. In such cases, candidates are no longer allowed to represent themselves as PECB Certified Professionals. Additional reasons for revoking certification can be if the candidates:
- Violate the PECB Code of Ethics
- Misrepresent and provide false information of the scope of certification
- Break any other PECB rules
- Any other reasons that PECB deems appropriate

Candidates whose certification has been revoked can file a complaint through the complaints and appeals procedure. For more detailed information, refer to **Complaint and Appeal Policy** section.

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Other statuses

Besides being active, suspended, or revoked, a certification can be voluntarily withdrawn or designated as Emeritus. To learn more about these statuses and the permanent cessation status, go to Certification Status Options.

Upgrade and downgrade of credentials

Upgrade of credentials

Professionals can upgrade their credentials as soon as they can demonstrate that they fulfill the requirements.

To apply for an upgrade, candidates need to log into their PECB account, visit the "My Certifications" tab, and click on "Upgrade." The upgrade application fee is $100.

Downgrade of credentials

A PECB Certification can be downgraded to a lower credential due to the following reasons:
- The AMF has not been paid.
- The CPD hours have not been submitted.
- Insufficient CPD hours have been submitted.
- Evidence on CPD hours has not been submitted upon request.

Note: PECB certified professionals who hold Lead certifications and fail to provide evidence of certification maintenance requirements will have their credentials downgraded. The holders of Master Certifications who fail to submit CPDs and pay AMFs will have their certifications revoked.

Renewing the certification

PECB certifications are valid for three years. To maintain them, PECB certified professionals must meet the requirements related to the designated credential, e.g., they must fulfill the required number of continual professional development (CPD) hours. In addition, they need to pay the annual maintenance fee ($120). For more information, go to the Certification Maintenance page on the PECB website.

Closing a case

If candidates do not apply for certification within one year, their case will be closed. Even though the certification 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.

Complaint and Appeal Policy

Any complaints must be made no later than 30 days after receiving the certification decision. PECB will provide a written response to the candidate within 30 working days after receiving the complaint. If candidates do not find the response satisfactory, they have the right to file an appeal.

For more information about the Complaint and Appeal Policy, click here.

SECTION V: GENERAL POLICIES

Exams and certifications from other accredited certification bodies
PECB accepts certifications and exams from other recognized accredited certification bodies. PECB will evaluate the requests through its equivalence process to decide whether the respective certification(s) or exam(s) can be accepted as equivalent to the respective PECB certification (e.g., ISO 22301 Lead Auditor certification).

Non-discrimination and special accommodations
All candidate applications will be evaluated objectively, regardless of the candidates' age, gender, race, religion, nationality, or marital status.

To ensure equal opportunities for all qualified persons, PECB will make reasonable accommodations[3] for candidates, when appropriate. If candidates need special accommodations because of a disability or a specific physical condition, they should inform the partner/distributor in order for them to make proper arrangements[4]. Any information that candidates provide regarding their disability/special needs will be treated with confidentiality. To download the Candidates with Disabilities Form, click here.

Behavior Policy
PECB aims to provide top-quality, consistent, and accessible services for the benefit of its external stakeholders: distributors, partners, trainers, invigilators, examiners, members of different committees and advisory boards, and clients (trainees, examinees, certified individuals, and certificate holders), as well as creating and maintaining a positive work environment which ensures safety and well-being of its staff, and holds the dignity, respect and human rights of its staff in high regard.

The purpose of this Policy is to ensure that PECB is managing unacceptable behavior of external stakeholders towards PECB staff in an impartial, confidential, fair, and timely manner. To read the Behavior Policy, click here.

Refund Policy
PECB will refund your payment, if the requirements of the Refund Policy are met. To read the Refund Policy, click here.

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

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

Address:

Headquarters
6683 Jean Talon E,
Suite 336 Montreal,
H1S 0A5, QC,
CANADA

Tel./Fax:

T: +1-844-426-7322
F: +1-844-329-7322

Emails:

Examination:
examination.team@pecb.com

Certification:
certification.team@pecb.com

Customer Service:
support@pecb.com

PECB Help Center

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

www.pecb.com