PECB
BEYOND RECOGNITION

ISO/IEC 17025 LEAD ASSESSOR

Candidate Handbook

PECB

Table of Contents

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

---

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

PECB

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.

Introduction to ISO/IEC 17025 Lead Assessor

ISO/IEC 17025 specifies the general requirements for the competence of testing and calibration laboratories. This standard promotes the confidence in the laboratory processes and activities. The major difference between the previous version (ISO/IEC 17025) and the current version (ISO/IEC 17025) is the new structure. The previous edition of the standard was divided into two major requirements: Technical requirements and Management requirements. Whereas, the requirements in the current edition are distributed into five requirements: General requirements, Structural requirements, Resource requirements, Process requirements, and Management requirements.

This standard is applicable to all the organizations performing tests and/or calibrations. Laboratories are required to ensure impartiality and confidentiality in all of their activities, including but not limited to: results, customer's confidential information, and information regarding its personnel. Resources necessary for the implementation of the management system are required to be made available, which include the personnel, facilities, the environmental conditions, and equipment. The emphasis in the current version has been placed on metrological traceability, which now is now a sub-clause that requires the establishment and maintenance of metrological traceability of the laboratory's measurement results by means of a documented unbroken chain of calibrations.

Laboratories are required to establish, implement and maintain processes which include, but are not limited to: review of requests, tenders, and contracts; sampling; handling of test or calibration methods; complaints; nonconforming work; etc.

The management system requirements are now divided into two options: Option A and Option B. Option A consists of the requirements which are explicit for those laboratories that follow the requirements of the previous edition. While, Option B is appropriate for those laboratories that meet the requirements of ISO 9001, which merely requires the laboratory management system to meet all the relevant requirements of the current ISO/IEC 17025 standard.

Many countries across the world have one or more organizations responsible for the accreditation of their nation's laboratories. Most of these accreditation bodies have now adopted ISO/IEC 17025 as the basis for accrediting their country's testing and calibration laboratories. This has helped countries employ a uniform approach to determine the competence of laboratories. It has also encouraged laboratories to adopt internationally accepted testing and measurement practices, where possible. In order for accreditation bodies (at different parts of the world) to recognize each other's accreditations, the International Laboratory Accreditation Cooperation (ILAC) worked to establish methods of evaluating accreditation bodies against another ISO standard (ISO/IEC Guide 58 - which became ISO/IEC 17011). The geopolitical regions around the world, such as the European Community and Asia-Pacific, the Americas and others, established regional cooperation to manage the work needed for such mutual recognition. These regional bodies (all working within the ILAC umbrella) include the European Accreditation Cooperation (EA), Asia Pacific Laboratory Accreditation Cooperation (APLAC), Southern Africa Accreditation Cooperation (SADCA), and the Inter-American Accreditation Cooperation (IAAC).

Today's employers are not just seeking Laboratory Management professionals, but want proof that these professionals hold a predetermined set of knowledge and skills. Companies now place a high degree of

PECB

importance on hiring, contracting with, and promoting recognized practitioners prepared to tackle today's and tomorrow's testing and calibration challenges.

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/IEC 17025 Lead Assessor 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.

PECB

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).

---

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

PECB

Competency domains

The objective of the "PECB Certified ISO/IEC 17025 Lead Assessor" examination is to ensure that the candidate has the necessary expertise to assess the competence of testing and calibration laboratories to generate valid and reliable results based on ISO/IEC 17025.

The aim of the exam is to evaluate that the candidate possesses the necessary knowledge and skills to proficiently plan and carry out an assessment based on best practices.

The ISO/IEC 17025 Lead Assessor exam is intended for:
- Individuals seeking to perform and lead an accreditation assessment of testing and calibration laboratories
- Managers or consultants seeking to master an ISO/IEC 17025 accreditation assessment
- Laboratory technicians responsible for maintaining conformance to ISO/IEC 17025 requirements
- Technical experts seeking to prepare for a testing, sampling and/or calibration laboratory accreditation assessment

The content of the exam is divided as follows:
- **Domain 1:** Fundamental principles and concepts of a laboratory management system (LMS)
- **Domain 2:** Laboratory management system (LMS)
- **Domain 3:** Fundamental concepts and principles of assessment
- **Domain 4:** Preparation of an ISO/IEC 17025 assessment
- **Domain 5:** Conducting an ISO/IEC 17025 assessment
- **Domain 6:** Closing an ISO/IEC 17025 assessment
- **Domain 7:** Managing an ISO/IEC 17025 internal audit program

Domain 1: Fundamental principles and concepts of a laboratory management system (LMS)

Main objective: Ensure that the candidate can understand, interpret, and illustrate the ISO/IEC 17025 concepts related to a laboratory management system (LMS).

Competencies	Knowledge statements
1. Ability to explain the operations of the ISO organization and the development of ISO/IEC 17025 standard 2. Ability to identify, analyze, and evaluate the compliance of the laboratory management system with the ISO/IEC 17025 requirements 3. Ability to comprehend and apply the laboratory management tools and techniques 4. Ability to explain and illustrate the main concepts of laboratory management	1. Knowledge of the seven ISO management principles 2. Knowledge of the main standards in laboratory management 3. Knowledge of the different sources of laboratory management requirements, including laws, regulations, international and industry standards, contracts, market practices, and internal policies 4. Knowledge of the main testing and calibration laboratories concepts and terminology as described in ISO/IEC 17025

PECB

Domain 2: Laboratory management system (LMS)

Main objective: Ensure that the candidate can understand, interpret, and illustrate the main elements of a laboratory management system based on ISO/IEC 17025.

Competencies	Knowledge statements
1. Ability to explain the components of a laboratory management system based on ISO/IEC 17025 and its principal processes.	1. Knowledge of the main concepts, principles, and terminology related to a laboratory management system (LMS)
2. Ability to interpret and analyze the ISO/IEC 17025 requirements	2. Knowledge of the main advantages of testing and calibration laboratories
3. Ability to understand, explain and illustrate the main steps to establish, implement, operate, monitor, review, maintain and improve the laboratory management	3. Knowledge of the ISO/IEC 17025 requirements presented in clauses 4 and 8
	4. Knowledge of the main steps for the competence to carry out specific tests or types of calibrations

Domain 3: Fundamental concepts and principles of assessment

Main objective: Ensure that the candidate can understand, interpret, and apply the main concepts and principles related to assessments and laboratory management systems.

Competencies	Knowledge statements
1. Ability to understand, explain, and illustrate the application of the assessment principles in the context of an ISO/IEC 17025 assessment 2. Ability to identify and judge situations that would discredit the professionalism of the assessor and the PECB Code of Ethics 3. Ability to identify and evaluate ethical problems, taking into account the obligations related to sponsors, law enforcement, or regulatory authorities 4. Ability to explain, illustrate, and apply the evidence approach in the context of an ISO/IEC 17025 5. Ability to explain and compare the types and characteristics of evidence 6. Ability to determine and justify what type of evidence and how much evidence will be required in the context of a laboratory assessment 7. Ability to determine and evaluate the level of materiality and apply the risk-based approach during the different phases of an ISO/IEC 17025 assessment 8. Ability to judge the appropriate level of reasonable assurance needed for a specific ISO/IEC 17025 assessment	1. Knowledge of the assessment concepts and terminology 2. Knowledge of the following assessment principles: integrity, fair presentation, due professional care, professional judgment, confidentiality, and impartiality 3. Knowledge of professional responsibility of an assessor and the PECB Code of Ethics. 4. Knowledge of the evidence-based approach in an assessment 5. Knowledge of the different types of evidence: physical, mathematical, confirmative, technical, analytical, documentary, and verbal. 6. Knowledge of different factors that will influence the assessment procedures 7. Knowledge of the risk-based approach in an assessment and the different types of risk related to assessment activities 8. Knowledge of the concept of materiality and its application in an assessment 9. Knowledge of the concept of reasonable assurance and its application in an assessment

Domain 4: Preparation of an ISO/IEC 17025 assessment

Main objective: Ensure that the candidate can prepare the laboratory organization assessment in the context of ISO/IEC 17025.

Competencies	Knowledge statements
1. Understand and explain the steps and activities for the preparation of a laboratory organization assessment taking into consideration the specific context and conditions of the mission 2. Understand and explain the roles and responsibilities of the team leader, team members, and technical experts in a laboratory organization assessment 3. Ability to determine, evaluate, and confirm the assessment objectives, the assessment criteria, and the assessment scope of a laboratory 4. Ability to do a feasibility study of an assessment in the context of the ISO/IEC 17025 5. Ability to develop working papers and to elaborate appropriate assessment test plans in the context of a specific ISO/IEC 17025 assessment	1. Knowledge of the main responsibilities of the assessment team leader and team members 2. Knowledge of the roles and responsibilities of technical experts used for an assessment 3. Knowledge of the main assessment objectives, scope, and criteria 4. Knowledge of the difference between the LMS scope and the assessment scope 5. Knowledge of the elements to review during the feasibility study of an assessment 6. Knowledge of the cultural aspects to consider in an assessment 7. Knowledge of the characteristics of assessment terms of engagement and best practices to establish the first contact with an assessor 8. Knowledge of the preparation of an assessment plan 9. Knowledge of the preparation and development of assessment working papers 10. Knowledge of the advantages and disadvantages of using assessment checklists 11. Knowledge of best practices of assessment test plans

Domain 5: Conducting an ISO/IEC 17025 assessment

Main objective: Ensure that the candidate can efficiently conduct a LMS assessment in the context of the ISO/IEC 17025.

Competencies	Knowledge statements
1. Ability to organize and conduct the opening meeting in the context of an ISO/IEC 17025 assessment 2. Ability to conduct a stage 1 assessment in the context of a specific ISO/IEC 17025 assessment mission and take into account the documentation review conditions and criteria 3. Ability to conduct a stage 2 assessment in the context of a specific ISO/IEC 17025 assessment mission by applying the best practices of communication 4. Ability to conduct an ISO/IEC 17025 assessment taking into account the documentation review conditions and criteria for the application of the best practices. 5. Ability to explain, illustrate and apply statistical techniques and main assessment sampling methods 6. Ability to gather appropriate evidence objectively from the available information in an assessment and to evaluate them objectively	1. Knowledge of the objectives and the content of the opening meeting of an assessment 2. Knowledge of the documentation review criteria. 3. Knowledge of the documentation requirements stated in the ISO/IEC 17025 standard 4. Knowledge of best practices of communication during an assessment 5. Knowledge of the roles and responsibilities of guides and observers during an assessment 6. Knowledge of the conflict resolution techniques. 7. Knowledge of evidence collection procedures: observation, documentation review, interviews, analysis, and technical verification 8. Knowledge of evidence analysis procedures: corroboration and evaluation 9. Knowledge of the main concepts, principles, and statistical techniques used in an assessment 10. Knowledge of the main sampling methods and their characteristics related to the assessment

Domain 6: Closing an ISO/IEC 17025 assessment

Main objective: Ensure that the candidate can conclude a LMS assessment and conduct follow-up activities in the context of the ISO/IEC 17025.

Competencies	Knowledge statements
1. Ability to explain and apply the evaluation process of evidence to draft assessment findings and conclusions	1. Knowledge of the evaluation process of the evidence to draft assessment findings and prepare assessment conclusions
2. Understand, explain and illustrate the different levels of conformity and the concept of the benefit of the doubt	2. Knowledge of the differences and the characteristics of the concepts of conformity, minor nonconformity, major nonconformity, and observation
3. Ability to report appropriate assessment observations in order to help a laboratory to improve their testing and calibration activities	3. Knowledge of the guidelines and best practices to write a nonconformity report
4. Ability to complete working documents and do a quality assurance of an ISO/IEC 17025 assessment	4. Knowledge of the guidelines and best practices to draft and report an assessment observation
5. Ability to draft conclusions and present them to top management	5. Knowledge of the principle of the benefit of the doubt and its application in the context of an assessment.
6. Ability to organize and conduct an assessment closing meeting	6. Knowledge of the guidelines and best practices to complete assessment working documents
7. Ability to write an ISO/IEC 17025 assessment report and justify an accreditation recommendation	7. Knowledge of best practices to present assessment findings and conclusions
8. Ability to conduct the activities following an initial assessment, including the evaluation of action plans, follow-up activities and surveillance assessments	8. Knowledge of best practices to evaluate action plans.
	9. Knowledge of follow-up assessments, surveillance assessments, and assessment requirements, steps, and activities

Domain 7: Managing an ISO/IEC 17025 internal audit program

Main objective: Ensure that the candidate understands how to establish and manage an internal audit program.

Competencies	Knowledge statements
1. Understand and explain the establishment of an internal audit program	1. Knowledge of the management of an internal auditor program
2. Understand and explain the implementation of an ISO/IEC 17025 internal audit program.	2. Knowledge of requirements, guidelines and best practices regarding internal audit resources, procedures, and policies
3. Understand and explain the responsibilities to protect the integrity, availability, and confidentiality of assessment records	3. Knowledge of the types of tools used by professional internal auditors
4. Understand the requirements related to the components of the management system of an internal audit program	4. Knowledge of requirements, guidelines, and best practices regarding the management of an internal auditor record
5. Understand the evaluation of the efficiency of the internal audit program by monitoring the performance of the internal auditor	5. Knowledge of the application of the concept of continual improvement to the management of an internal auditor program
6. Ability to demonstrate the application of personal attributes and behaviors associated with professional internal auditors	6. Knowledge of the concept of competency and its application to assessors
	7. Knowledge of the personal attributes and behavior of a professional assessor

Based on the abovementioned domains and their relevance, 12 questions are included in the exam, as summarized in the table below:

		Level of understanding (Cognitive/Taxonomy) required					
		Points per question	Questions that measure comprehension, application, and analysis	Questions that measure evaluation	Number of questions per competency domain	% of the exam devoted to each competency domain	Number of points per competency domain	% of points per competency domain
Competency domains	Fundamental principles and concepts of a laboratory management system (LMS)	5	X		1	8.33	5	6.67
	Laboratory management system (LMS)	5	X		1	8.33	5	6.67
	Fundamental concepts and principles of assessment	10	X		2	16.67	15	20
		5	X					
	Preparation of an ISO/IEC 17025 assessment	5	X		3	25	15	20
		5	X					
		5	X					
	Conducting an ISO/IEC 17025 assessment	10		X	2	16.67	15	20
		5		X				
	Closing an ISO/IEC 17025 assessment	5		X	2	16.67	15	20
		10		X				
	Managing an ISO/IEC 17025 internal audit program	5		X	1	8.33	5	6.67
Total points		75						
Number of questions per level of understanding			7	5				
% of the exam devoted to each level of understanding (cognitive/taxonomy)			58.3	41.7				

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/IEC 17025 Lead Assessor" credential.

PECB

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 essay-type questions. Essay-type questions are used to determine and evaluate whether a candidate can clearly answer questions related to the defined competency domains. Additionally, problem-solving techniques and arguments that are supported with reasoning and evidence will also be evaluated. The exam aims to evaluate candidates' comprehension, analytical skills, and applied knowledge. Therefore, candidates are required to provide logical and convincing answers and explanations in order to demonstrate that they have understood the content and the main concepts of the competency domains.

This is an open-book exam. The candidate is allowed to use the following reference materials:
- A hard copy of the ISO/IEC 17025 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.

Sample exam questions

Question 1: Evidence in an assessment
For each of the following clauses of the ISO/IEC 17025 standard, please provide at least two (2) different evidences that would be acceptable to ensure conformity to the clause.
- Clause *4.2 Confidentiality*

Possible answer:
- *The laboratory's confidentiality policy (or other means of documented commitment towards the confidentiality requirement)*
- *Records describing the limited access to authorized (and/or qualified) employees only*
- *The inserted non-disclosure provisions in employment agreements*

Question 2: Evaluation of corrective actions
You have received a corrective action plan to review. Please evaluate the effectiveness of the proposed corrective actions below. If you agree with these corrective actions, please explain why. If you do not agree, please explain why not, and propose an alternative adequate corrective action.

- **Nonconformity 1:** The Assessor has issued a nonconformity because none of the members of the top management signed the agreement for the nondisclosure of confidential information (which includes the provision of test results to unauthorized parties) with the laboratory.
- **Corrective action plan 1:** All of the members of the top management will sign the agreement for the nondisclosure of confidential information in the next month.

Possible answer:
I disagree with the proposed corrective action. Despite the fact that this measure will result in having the agreement for nondisclosure of confidential information signed in the next month, it will not solve the issues that might have occurred as a consequence of not having signed that agreement so far. These potential issues should be identified and attempted to be resolved immediately.

- **Nonconformity 2:** The Assessor has issued a nonconformity because the quality objectives have not been measured appropriately by the laboratory
- **Corrective action plan 2:** At the next management review, the laboratory's top management will determine the appropriate indicators to measure the quality objectives (Timeframe: 1 month).

Possible answer:
I agree with the proposed corrective action as the determination of the appropriate indicators will address the problem at its root cause.

PECB

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.

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/IEC 17025 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/IEC 17025 scheme have the following requirements:

Credential	Education	Exam	Professional experience	MS audit/assessment experience	Other requirements
PECB Certified ISO/IEC 17025 Provisional Assessor	At least secondary education	PECB Certified ISO/IEC 17025 Lead Assessor exam or equivalent	None	None	[Signing the PECB Code of Ethics](#)
PECB Certified ISO/IEC 17025 Assessor			Two years: One year of work experience in laboratory management	Audit activities: a total of 200 hours	
PECB Certified ISO/IEC 17025 Lead Assessor			Five years: Two years of work experience in laboratory management	Audit activities: a total of 300 hours	
PECB Certified ISO/IEC 17025 Senior Lead Assessor			Ten years: Seven years of work experience in laboratory management	Audit activities: a total of 1,000 hours	

To be considered valid, the audit activities should follow best practices and include the following:
1. Planning an assessment
2. Managing an assessment program
3. Drafting assessment reports
4. Drafting nonconformity reports
5. Drafting assessment working documents
6. Documented information review
7. On-site assessment
8. Following up on nonconformities
9. Leading an assessment 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 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 laboratory 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.

Assessment experience

The candidate's assessment log will be checked to ensure that they have completed the required number of assessment 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.

PECB

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.

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.

PECB

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/IEC 27001 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.

---

[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:
customer@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