



PEEB 9001 Lead Auditor Candidate Handbook (V 1.0)

This Candidate Handbook provides comprehensive information, understanding policies & procedures related to certification eligibility, test development and administration, professional conduct, and disciplinary measures, maintain certification, and security procedure established by PEEB.

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1 INTRODUCTION

1.1 About PEEB

1.1.1 Who We Are?

The Professional Excellence Evaluation Board (PEEB) is the premier global accredited personnel certification body as per ISO 17024:2012 from International Accreditation Services (IAS). PEEB accreditation demonstrates that all certifications meet the global standards. PEEB provides certification schemes in diverse professions and industries, not limited to Quality, Health & Safety, Food, Environment, Energy, Six Sigma, Fire, Calibration, Lifting and Rigging etc. PEEB's rigorous, effective, and reliable e-certification process elevates the expectations of professionals in their fields and allows them to demonstrate their commitment and ability to work at the highest level.

PEEB uses Subject Matter Expert (SME) throughout the development and evaluation processes. Our extensive knowledge in developing task analysis, assessments, and certifications distinguishes us in the competitive environment.

We are highly committed and accepted to be an autonomous certification board by employers, and learners in the market. We are dedicated to being the most dynamic and fresh thinking organisation in the market. We believe that the right professional with the right competencies delivers the right outcomes.

PEEB recognises the importance of impartiality in carrying out its certification activities, so all the staff and/or stake holders manage conflicts of interest and ensure the objectivity of all certification activities. PEEB will not discriminate based on race, creed, ethnic origin, religion, age, disability, political affiliation, gender, sexual orientation, or marital, parental, military, or any other legally protected status.

1.1.2 Our Objective

1. Our objective is to keep things simple for individuals, and advance their knowledge, skills, and careers, for the meet-up of individuals, organizational requirements, and customer services.
2. To encourage the professionalism, equality, diversity and urge the ethical practice.
3. To sustain the integrity of assessments and certification by providing quality assurance.
4. Provide comprehensive services that demonstrate the benefits for individuals and inspire them as a whole society.

1.1.3 Our Motto is “Passion for Excellence”

Vision

To build a global platform for professionals to pursue excellence through personnel certifications.

Mission

To inspire and develop leaders in their professions through globally recognized personnel certifications and support the society.

Values

Dedication to Superiority: We make sure the highest level of excellence in all outputs with the aim to become “Global Leaders” Our slogan is “**Passion for Excellence**”.

Veracity: We ensure that all exchanges with clients and along with staff are based on honesty and mutual self-esteem with the aim of support ‘integrity over the board’.

Sustainability: Our believe is in the long-term sustainability of both the organisation and clients thereby “boosting self-sufficiency all through continuous enrichments in our services”

Accountability: We deliver our promises to ourselves and our customers.

Modernization / Innovation: Our believe in learning, modifying, and expanding thereby “reacting positively to change”.

Professionalism and Excellence: Dedication to be the best and to provide the best for our members.

Transparency: Effective and clear communication about all our business.

1.1.4 PEEB Code of Conduct

This code of conduct sets professional standards and ethical values, which are set and must be complied by applicants, candidates and credential holders and abide by PEEB obligations, standards, and its governing policies always.

Integrity:

The certified professionals shall pursue and maintain integrity, dignity, and distinction of the profession as well as of the PEEB by complying with these standards of work ethics.

Scope:

PEEB evaluated/certified professionals shall hold and be accountable for fundamental standards during the conduct of their duties and professionally advise employers, clients, employees, the public and appropriate authorities, of any danger and intolerable risks.

Professionalism:

PEEB evaluated and certified professional candidates shall only conduct practice in his/her educational field of expertise and knowledge. As well as following up their professional development by maintaining their proficiency through further knowledge, work experience, professional skills, and keeping up to date with current affairs of the profession.

PEEB certified professional shall pursue opportunities in services of civic, business affairs, working for improvement of the quality check, health and safety, system security, management proficiencies, and other well-being of the community, by sharing their acquired knowledge and professional skills and experiences.

Fairness:

PEEB certified professional shall always act as a non-bias professional of their field and with the

manner regardless to individual's religion, ethnicity, gender, age, national origin, sexual orientation, or disability.

Support:

PEEB certified professional will always support fellow professionals and PEEB as the main operating power behind the development in the professional environment. In addition, certified professional by PEEB - will not conspire, embarrass, or discredit the PEEB or the other colleagues.

1.1.5 Statement of Confidentiality

PEEB certified professional must be unbiased and fair-minded conduct his/her professional affairs with responsibility and integrity. Continuously maintain exacting standards of ethics, balanced care for the concerns of the public, employers, clients, employees, colleagues, and the profession itself.

PEEB certified professional must avoid conducting or practice, which might lead to discrediting the professions, PEEB board or misleading the public in any manner.

1.1.6 Statement of Impartiality

Professional Excellence Evaluation Board - PEEB provides an objective and balanced professional certification awarding services. We stick to transparent procedures based on certification schemes, which comprises built-in checks to ensure the objectivity of certification activities.

2 PEEB 9001 LEAD AUDITOR CERTIFICATION SCHEME

2.1 PEEB 9001 Lead Auditor Program Overview

The PEEB 9001 Lead Auditor credential designation represents a personal benchmark that validates knowledge, skill, expertise, and practice. Obtaining the PEEB 9001 Lead Auditor certification will set you apart from others within the QMS industry and emphasize that you are professionally committed to help potential customers and develop Quality Management industry experience at workplace.

The certification program is not designed to determine who is qualified or who shall engage in QMS industry. The goal is to promote excellence and professionalism by documenting individual performance as measured against a predetermined level of knowledge about QMS.

2.2 PEEB 9001 Lead Auditor

PEEB's main purpose is to deliver excellency and systematically quality products, services, and skills through PEEB 9001 Lead Auditor certifications. The PEEB 9001 Lead Auditor certification program certifies individuals who have met the program pre-requisites and who demonstrate that they have acquired a minimum level of knowledge and expertise in this field by passing the examination/assessment.

PEEB 9001 Lead Auditor certifications provide a unique excellency style of evaluation that help learners / candidates to master the art of QMS to improve continuously and successfully meet customer, business, organisational, and regulatory requirements.

PEEB utilizes the assistance and support of professional experts in examination development, psychometrics, and examination delivery to support the development of the 9001 Lead Auditor certification and examination. This cooperative effort by the PEEB, its practicing QMS professionals has resulted in defining the body of knowledge significant to the practice of QMS standards.

2.3 Objectives of Certification

The objectives of the certification program for QMS professionals are to:

1. Develop professional standards and distinctive competencies for delivering excellence practice for the industry of QMS.
2. Certify and provide recognition to individuals, auditors and quality managers who demonstrate and acquired body of knowledge and expertise.
3. Provide leading quality management certification program that is assessed/evaluated by expert lead auditors with a wide experience of quality management systems who will give you the skills required to perform internal, supplier and certification body audit.
4. Foster continuing competence and maintain the professional standard **in QMS** through a mandatory continuing professional development (CPD) program.
5. ISO 9001 has six mandatory procedures: control of documents, control of records, internal audit, corrective action, preventive action, and control of non-conforming products.

2.4 PEEB 9001 Lead Auditor Certification Scope

QMS certifications scope provides valued knowledge and recognitions that the candidate has experience within a specific industry.

When you see PEEB 9001 Lead Auditor after a name, you know that they have been through a rigorous process that confirms their recognised schooling, professional practice, and professional development and that they have successfully passed a competency-based certification evaluation. They have also signed and agreed to abide by the PEEB Code of Ethics and maintain ongoing continual professional development (CPD).

2.5 Eligibility Criteria

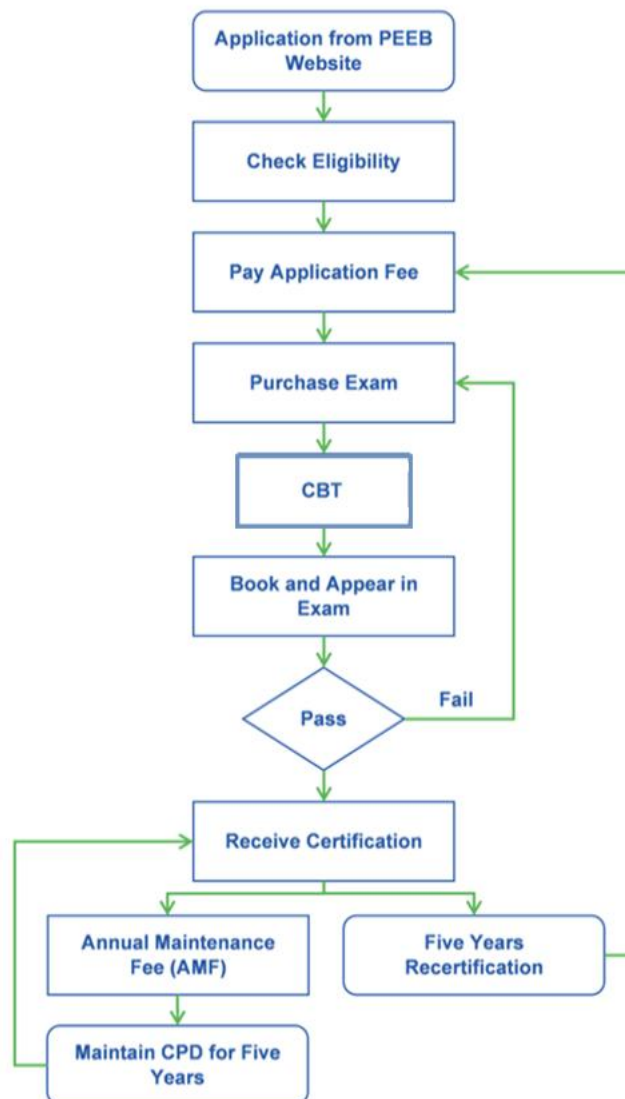
Applicants for PEEB 9001 Lead Auditor certification must meet one of the following three options:

Exam	Education	Professional Experience	Audit/Assessment Experience (Optional)
PEEB 9001 Lead Auditor	Master's Degree in any subject or (International equivalent)	One-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 100 hours
	Bachelor's Degree or (International equivalent)	Three-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours
	Diploma / GCSE, no higher education degree is required	Five-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours

3 APPLICATION AND EXAMINATION PROCEDURE

3.1 Certification & Application Process

PEEB offers a very clear and easy procedure for the PEEB certification. Candidate Can go towards the PEEB Certification by following these application and examination steps.



3.2 Certification Steps

Step 1 – Pick A certification

The first stage is to select a certification from the PEEB website according to the eligibility.

Step 2 – Check Eligibility

The second step is to check the certification criteria through the PEEB official website. Applicants for PEEB certification must meet one of the following three options given in Chapter 2.

Step 3 – Pay and Submit Application

Fill up the signup form, pay the application fee and then submit the remaining application at the PEEB online portal. Applications are reviewed by PEEB management and evaluate the material presented by an applicant i.e., Applicants for PEEB certification must meet one of the following three options given in chapter 2. Applicants will receive a notification about their application status within 3 business days of receiving your application.

Step 4 – Purchase Exams

Once the application is approved, the applicant will purchase the exam set and the Applicants must have to sit an examination within one year of validity.

Step 5 – Select Exam

PEEB Exams is a computer-based test CBT.

Step 6 – Book and Appear in Exam

Once the exam is purchased, the Candidate can take the exam anytime by visiting the Exam link provided through email.

Step 7 – Pass the Examination

Once the Candidate passes the PEEB certification exam he qualifies for the certification. PEEB will award certification who pass the certification exams.

Step 8 – Pay Annual Renewal Fee

There is an annual renewal fee who earn the PEEB credential. Candidate must have to maintain and submit the CPD points yearly.

3.3 Recertification

PEEB certified must maintain CPD by compiling 25 Re-certification points every year. Another way to earn all the required points is to retake and pass the examination for Re-certification.

3.4 Application Fees for Examination and Certification

PEEB offers direct exams, where a candidate can sit for the exam without attending the training course. The applicable prices are as follows:

- Application Fee: £75
- Certification Exam Fee: £225
- Re-sit Examination Fee: £99
- Annual Maintenance Fee (AMF): £99

The application fee for certification is £75 and will be valid for one year, applicants can schedule certification exams within one year. PEEB waved off the first year of the Annual Maintenance Fee (AMF) from all certification holders.

Note: If your application is not approved or you're not eligible we will contact you. The application's £75 processing fee is not refundable.

3.5 Examination Approval Process

Once the application is approved by PEEB the candidate will receive a confirmation email of approval from PEEB.

A candidate must sit for the examination within one year of receiving approval. If the candidate fails to take an exam within this one-year period, they must undergo the entire application approval process again, including the application fee, unless there are exceptional circumstances.

3.6 Appointment Scheduling

PEEB is responsible for the Online examination.

3.6.1 Online

Once the exam is purchased, the Candidate can take the exam anytime within the time period by visiting the My PEEB portal., Once the exam is booked and started, they must complete it in one sitting.

3.7 Identification Requirements

The examination candidate is required to present an original (no photocopies) & valid ID i.e., passport/national identity card etc.

If you are not a citizen of the country in which you are sitting for the exam, the only acceptable identification document is your valid, unexpired passport.

Failure to present the proper identification will result in the forfeiture of your examination.

4 MANDATORY RULES & REGULATIONS

4.1 Rules for Scheduling/Appointment for Examination

To change an existing examination appointment, you must follow strict rules. If you fail to follow these rules, you forfeit your Exam Authorization.

You may change your appointment only if there are 5 or more full business days remaining before your existing appointment date. Appointments being rescheduled are subject to availability at PEEB. Appointment rescheduling reason will be checked, only medical reason will be acceptable if there is a satisfying proof from doctor or medical report.

You cannot reschedule your appointment to a date on or beyond your Authorization Expiration date. If the candidate needs an examination extension, they may apply for a one-year with additional fees.

4.2 Missed Examinations

If you fail to keep your scheduled examination appointment or if you arrive more than 30 minutes beyond the starting time of your scheduled appointment or if you fail to present acceptable identification when you arrive for your scheduled appointment, you may be refused admission, and you may forfeit your examination writing. To sit for the examination after having been refused admission, you must register and pay for certification exam fee.

4.3 Inclement Weather or Emergency

In the event of inclement weather or unforeseen emergencies on the day of the examination, PEEB will determine whether circumstances warrant the cancellation of the certification exam. The examination will usually not be cancelled.

4.4 Personal Belongings

All candidates will be required to leave their personal belongings outside the testing area. While the testing Centre will make available to you a secure area to store your belongings, the PEEB assumes no responsibility for lost, stolen, broken, or misplaced personal property and candidates should plan appropriately.

Before entering the testing area, an unobtrusive visual inspection of personal items will be conducted by the examination proctors.

As you sign in, the testing Centre staff provides you with materials for working out calculations by hand.

Prohibited items include:

- Mechanical or electronic devices including but not limited to computers, cellular phones, smart phones, personal digital assistants, pagers, calculators, wireless email and reading devices, electronic paging devices, recording or filming devices, cameras, tape recorders, headphones, headsets, mp3 players and radios.
- All forms of outerwear, including but not limited to hats, scarves, gloves, jackets, coats.

- All forms of luggage, including but not limited to book bags, backpacks, handbags, purses, suitcases, and briefcases.
- Writing and marking supplies, including but not limited to pens, pencils, erasers, post-it notes, note paper.
- Props such as copyholders or clipboards
- Food and beverage
- Weapons of any kind, including but not limited to sharp objects, firearms, explosive devices, razor blades, box cutters and knives.
- Hats or headwear of any kind unless provision has been made for specific religious apparel.

Objects worn, or brought into the testing area, because of the candidates sincerely held a personal religious belief, practice or observance will be permitted, subject to prior notification and authorization by the PEEB.

You may access stored medicine, food, or drinks outside the secure testing room. You may not access other personal belongings until you complete your examination.

4.5 Test Misconduct

Candidates observed doing any of the following, or engaging in similar, dishonest practices during the exam will be considered to have engaged in test misconduct and both their application and exam administration may be dismissed. Candidates engaged in test misconduct may be disqualified from sitting any future PEEB exams.

Such test misconduct includes, but is not limited to, the following:

- Disclosing certification questions and/or certification subject matter.
- Aiding or abetting anyone in a cheating offence.
- Speaking or communicating with other candidates about specific certification content or questions before, during, or after the examination administration.
- Improperly obtaining through theft, bribery, collusion, or otherwise any test form prior to the date and time of the test's administration.
- Falsifying your identity or impersonating another candidate.
- Using any books, memoranda, calculators, audio or visual players or electronic devices including electronic watches, organizers, Smartphones, iPads, pagers or other cell phones, or other memory aid devices or communication devices other than those authorized by the PEEB.
- Looking at another candidate's responses.
- Copying another candidate's responses.
- Removing or attempting to remove PEEB material electronically or otherwise from a test location.

Prior to the Certification Examination launching, candidates must agree to a non-disclosure agreement. It states:

I understand that the certification has expended a considerable amount of time, effort, and expense in the development of the certification exam that I am about to challenge. I further understand that the validity and integrity of the certification exam depends on the questions remaining undisclosed

to other potential certification candidates. I hereby agree that I will not disclose any information concerning the content of this PEEB exam.

If you do not agree to the non-disclosure agreement, the examination will not launch, and your examination appointment will end.

Where proctors have issued an incident report on a candidate engaging in test misconduct, the candidate affected may have their score voided.

Failure to abide by these rules and regulations may be determined as test misconduct. The PEEB will investigate any report of test misconduct or suspected test misconduct. Affected candidates will be contacted to provide their response to the report. The investigation will include an assessment of the appropriate penalty. After the investigation, the Committee will review the information, make a finding, and decide on a penalty.

4.6 Taking your Examination

PEEB provide the demo for the whole examination process. Candidate should watch the procedure videos before starting the exam. When the examination is first launched, you must agree to comply with PEEB's examination security and nondisclosure rules.

If you experience any technical difficulties with the examination software or hardware during the testing event, please notify your proctor immediately so they may try to resolve the issue.

If you need to use the washroom, or when you leave your workstation for any reason, you must sign out and sign back in -- the on-site proctor will log your activity. Your examination clock continues to run during this time. You are not allowed to leave the building (or part of the building) for any reason while your examination clock is running.

The PEEB will endeavour to ensure that the environment for writing the examination is acceptable. Please be aware that on occasion, candidates may be exposed to minor distractions and the temperature in the testing area may vary. Candidates who are easily distracted by noise may request earplugs or noise-cancelling headphones from the proctor.

PEEB examinations are open book, except for materials by staff or on-screen test aids as part of the examination. Once your examination clock starts, access to any materials beyond those given to you by any organisation PEEB invalidates examinations and pursues disciplinary charges if you access prohibited materials, have contact with anyone except testing staff, leave the building while your examination clock is running, or engage in unethical, disruptive, or unprofessional conduct at a testing centre.

The certification exam is a proctored examination. Any incidences of test misconduct may result in the examination results being withheld or a determination of ineligibility. If it is determined at any time that you have accidentally or deliberately disclosed information relating to the Certification exam, it may result in your results being withheld, a determination of ineligibility for the designation,

or if the designation has already been awarded, you may be subject to investigation by Committee which may result in suspension or termination of your certification.

4.7 Security

PEEB, maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

5 STUDY MATERIAL & GUIDELINES

5.1 Preparation for Certification Examination

The following references have been identified by the PEEB as suggested reading by candidates preparing to write the certification examination.

Note: Any attempt to copy, collude, or otherwise cheat during the exam session will lead to automatic failure.

5.2 Tips and Scheduling Study Time

Develop a methodical approach to studying each domain. This can be accomplished by organizing your study time. Candidates report they spend between 60 and 200 hours on average preparing for the exam.

5.3 Review Sample Examination Questions

Some sample questions will be provided once the application is accepted which will give you an indication of the style of questions that will be asked, the type of thinking required and the degree of difference between incorrect and correct answers.

5.4 Control Examination Anxiety

Part of controlling anxiety involves being prepared for what to expect. Here are some tips:

Prior to the examination:

- Know your material. Spend adequate time studying for the certification exam.
- Ensure you get enough sleep, good nutrition, exercise, personal downtime, etc. Think positively.

On the day of the examination

- Allow yourself plenty of extra time to arrive testing centre so you have adequate time to park, register, etc.
- Dress comfortably – you will be seated for 2 hours.

During the examination

- Relax. Practice relaxation techniques such as deep breathing.
- Do not focus on any anxiety you may be experiencing.
- Do not expect to know all the answers. It is unlikely that a candidate will answer all questions correctly. Use your reasoning ability to analyse the question and identify the best possible answer.

6 EXAMINATION STRATEGY AND SCHEDULING

6.1 Certification Examination Overview

PEEB offers Computer-Based Tests (CBT) only. PEEB offers a minimum of one exam on the 15th of every month or as per requirement only in English language.

- Computer-Based Test - CBT

6.1.1 Computer-Based Test – CBT

Computer-based exams are provided electronically via the PEEB Exams applications. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PEEB Invigilator via the PEEB Exams application, and an external/integrated camera in the online test. Access will be granted on test day after submitting your exam fee.

6.2 Examination Strategy

The examination consists of 50 questions by CBT or PBT and 2 hours to complete. Each question consists of 2 marks and 100 marks for whole examination. It is required to get 50% marks (50 out of 100) to pass a certification examination.

The questions are presented in any of the following formats:

- Case-based (a set of questions associated with a brief scenario)

Independent questions (stand-alone examination questions that contain the information necessary for responding).

- Matching Columns
- Fill in the Blanks.
- True and False
- MCQ's

Candidates should thoroughly review the Blueprint for selected certification exam.

The Examination Committee is responsible for determining the PEEB certification content and the examination specifications, maintaining examination questions and setting the passing score.

6.3 Developing an Examination Strategy

Candidates who want to sit in PEEB 9001 Lead Auditor Examination must have thorough knowledge of all the seven domains. It takes time to adequately prepare for an examination. There are no shortcuts. While study tips and examination writing tips can help you prepare, there is no replacement for taking the time to build a solid base of knowledge.

Sr. No.	Domain Category
Domain 1	Fundamentals/ Concepts of Quality Management System (QMS) 9001 Audit
Domain 2	Risk Analysis and Quality Management System
Domain 3	Principles of ISO Audit 9001 and Sustainability

Domain 4	Managing /Organizing an ISO 9001 Audit Programme
Domain 5	Conducting an Audit (Stages/Process)
Domain 6	Conducting the Closing of ISO Audit 9001
Domain 7	Assessment/Managing an ISO 9001 Lead Auditor Programme

6.4 PEEB 9001 LEAD AUDITOR Domains

This exam covers the following competency domains.

6.4.1 Domain 1. Fundamentals/Concept of Quality Management system (QMS) 9001 Audit

Knowledge of:

1. Knowledge of Quality management system – QMS ISO 9001 standards and its scope of pertinency.
2. Elements of MS and based terminologies, strategies.
3. Knowledge of interrelationship between top management responsibility, accountabilities.
4. Quality policy, planning, implementation, measurement, review, and continuous improvement.
5. Objective of a quality management system and the business benefits of increasing quality management system performance.
6. Correlation between ISO and 9001, principles/rules and regulations, usability of the standards in existing environment.
7. Incorporated Expertise of ISO 9001 standards and Quality management system.
8. Expertise of seven principles of Quality management system.
9. The key element of the management system (plan, do, check, act) (PDCA)
10. Detailed development tools, management techniques, for improving QMS.

Skills:

1. To Illustrate the determinants of product quality and services.
2. Explain interaction between misconceptions about ISO 9001.
3. Capability to make clear the methodologies and its role in a QMS based on ISO 9001.
4. To discover the inclusion of QMS constraints in standard ISO 9001.
5. Analysis of Plan-Do-Check-Act cycle and risk-based thinking.
6. Apply management principles of authority, responsibility, and accountability.
7. Capability to illustrate the determinants of product and service quality.
8. Skill to distinguish risks and opportunities and to validate the appropriateness of quality objectives.

6.4.2 Domain 2. Risk Analysis and Quality Management System

Knowledge of:

1. Prerequisites of ISO 9001 for creating, establishing, implementing, maintaining, and continually improving Quality Management System – QMS.
2. Risk management principles and requirements of ISO 9001 structure.
3. Risk control process and techniques with organisational interest and concerned parties.

4. Hierarchy of control management, and risk analysis of quality policy, effectiveness of management leadership roles, and responsibilities associated to the quality management system.
5. Investigate the nature of risk, & risk prioritization (management strategies, action plans, control decisions).
6. Previous risk mitigation strategies and appropriate actions, analyse the risk analysis cost and predicted risk management for the sustainability and continuity of QMS.
7. Apply risk-based decision-making tools for prioritizing risk management options.
8. Valuing the context, Issues, risks within the organisation leadership and services support and operations.
9. Strong understanding of external and internal crises that effect framework of an organisation and methods for scop establishment.

Skills:

1. Apply management principles of authority, responsibility, and accountability.
2. Utilize the appropriate strategies and approaches in risk management process to the establishment of quality objectives.
3. To utilize effective approaches, methods, techniques for analysis, evaluation, measurement, internal and external audit management for quality improvement.
4. Recognition of available resources, competencies, and documented information for the smart QMS.
5. Compare quality management systems with benchmarks.
6. Accountability for duties at the workplace and (managers, supervisors, quality committee etc.)

6.4.3 Domain 3. Principles of ISO Audit 9001 and Sustainability

Knowledge for:

1. Essential characteristics of an auditor in audit ISO 9001, number of principles. (Integrity, fair presentation, dual professional care, confidentiality, independence, evidence-based approach, risk -based approach).
2. Knowledge of Professional job responsibilities, legal requirements for audit.
3. Demonstrate competencies, fair and unbiased judgement, while carrying out audit.
4. Common structure, concepts, principles, identical core requirements and common terms and core definitions of Audit ISO 19011.
5. Work Style Assessment that demonstrates independencies/impartiality of the audit.
6. Appropriate work values, style, and attitude attributes related to. ISO 19011.
7. Knowledge of methods for reproducing audit conclusions in systematic audit process (Evidence-based approach)
8. Consider risks free significance audits for the auditee (Risk-based approach)
9. Proficiency to understand, justify, and demonstrate the application of the audit principles in a QMS audit.
10. Audit requirement for management system, and audit types (internal, external & third party)
11. Elements of business continuity & contingency plans and sustainability
12. Estimation of required sources and maintenance of quality services
13. Professional responsibility and PEEB Code of Ethics. (Care, fair presentations, confidentiality, independence, integrity).

Skills:

1. Conduct effective leadership analyses and task analyses (job descriptions, responsibilities, accountabilities).
2. Ability to present fair audit findings, conclusions, reposting accurately.
3. Ability to provide good communication, professional care towards judgement in aiding.
4. Quality management system evaluation within organisation and Continual Improvement.
5. Relate management system plan to the provision of specific outputs of a management system (e.g., quality plan, project plan).
6. Roles & Responsibilities of audit parties
7. Identify the requirements of ISO 9001 standards for the sustainability, maintaining and continuity delivery of QMS.
8. Integrate the quality management system and management functions according to ISO 19011 into organisational structure, culture & design etc.
9. Ability to evaluate the audit management and auditing Performance of audit team.

6.4.4 Domain 4. Managing /Organizing an ISO 9001 Audit Programme**Knowledge of:**

1. Establish objectives, methods for the audit programme.
2. Make audit outlines for the implementation in quality management system.
3. Clarify the audit requirements, functionality with the context of the organisation which is being audited.
4. Relevant requirements, information about internal, external issues.
5. QMS requirements, Legal and conformity commitment.
6. Performance level of the auditee and other members of the audit team.
7. Analyse the potential risk opportunities associated with the ISO 9001 Lead Auditor.
8. Make clear the relevant scope, schedule, and audit types (internal, external).
9. Maintain and develop a quality and significance for QMS auditors.
10. Establish Quality management system processes, standards, and requirements defined by the organisation or other parties/competitors.
11. Outline and planning for stage 2 (on-site audit activities, preparation of working document, organizing audit/opening meetings).
12. Analyse first, second- and third-party audit differences and theories of maternity (ISO) and its application to an audit.
13. Understanding Policies, laws, statutory and applicable regulatory requirements to auditee.
14. Justification of roles, Competencies, responsibilities, and amount of evidence in a QMS of the team leader, audit team members, and professional experts.
15. Effective utilizations of evidence-based approach and risk-based approach for an audit risk related activities (intrinsic risk, control, detection, judgment) in QMS ISO 9001.
16. Determining, evaluating the level of materiality and feasibility during the stages of QMS audit.

Skills:

1. Ability to conduct desk review.
2. Audit to the ISO 9001/19011 system theories/ of reasonable assurance and its application.

3. Combined the audit approaches while management systems of different disciplines are audited together.
4. Ability to establish the extent of the audit programme (auditee information, functionality, level, or maturity.)
5. Ability to demonstrate the availability of the audit resources.
6. Ability to select audit methods and assessing responsibilities of individuals in audit.
7. Ability to verify any follow-up action with the context of previous audit.
8. Integrated Audit and Presentation tools & method of facilitating in ISO 9001 QMS.
9. Define approaches to audit, communication, behaviour, (desire, comfortability, social interaction, feelings)
10. Ability to manage the audit outcomes and audit program records.
11. Monitoring the audit process and improving the ISO 9001 audit programme.

6.4.5 Domain 5. Conducting an Audit (Stages/Process)

Knowledge of:

1. Establish contact with auditee and conduct opening meetings with auditee.
2. Conformity of communication channels, and authority to conduct the audit.
3. Access relevant information for planning purposes
4. Clarify and consider the (documentation, requirements, relevant management discipline, terms & Condition) of ISO 9001.
5. Determining the feasibility of the audit (information for planning, cooperation with auditee, resources).
6. Evaluate and distinguish the maintaining and retaining documented information and criteria.
7. (Emails, training process of staff, supplier registration, legal documents, purchasing)
8. Develop and maintain audit working papers and elaborate appropriate audit test plans, techniques, in a QMS audit.
9. Evaluate boundaries and verify audit objectives, criteria, and pertinence scope for a quality management system QMS audit.
10. Evaluate the auditee's planning (Competencies, Quality objective, Roles, responsibilities and authorities, support requirements, Operational processes, management review).
11. Communicating with audit team members and verifying the collected information from auditee.
12. Determining findings, define assessments, prepare conclusion, corrective actions report.
13. Analyze and justify the need for effective communication with the auditee and technical experts throughout the audit process.

Skills:

1. Ability to conduct management system audits and individual's accountability and activities.
2. Ability to provide document of clear guidance on auditing management system, managing audit program.
3. Evaluate auditee's knowledge and implementation between external and internal issues, relevant parties' interests, and action to meet up the risk/conflict resolution.
4. Validate auditee's determination for customer and Quality policy, strategic direction as established by top management.

5. Commits to Continual improvement and knowledge of advantages and disadvantages of using audit checklist.
6. Ability to clarify the need for auditor confidentiality and best practice of communication to collect the appropriate audit evidence and evaluate objectively.
7. Audit the provided considerations and discover the specific competencies are needed.
8. Ability to use documented information and primary audit sampling methods illustrate the audit data.
9. Understanding of requirements, steps, and activities of audit stage 1, 2, evaluation criteria according to ISO 9001.
10. Ability to review the audit findings and determine the audit conclusion.

6.4.6 Domain 6. Conducting the Closing of ISO Audit 9001

Knowledge of:

1. Conducting closing meetings with auditee to present audit findings.
2. Insight the guidelines of NCR and best practices to evaluate action plans.
3. Apply and explain evidence evaluation process/procedure, layout audit outcomes and preparing audit final conclusions/ decision of an audited organization.
4. Clarify the benefits conception of the doubt and its use/application in quality policy/management system.
5. Identification of positive feedback of audit findings in addition to nonconformity, and acknowledgement of potential risks and opportunities for improvement/development.
6. Evaluate audit evidence correctly and identify conformity and nonconformity with requirements of QMS.
7. Provide good practice, guidelines, characteristics, and distinctions between the concepts of conformity, minor nonconformity, major nonconformity, anomaly, and observation.
8. Provide appropriate audit observations report in accordance with ISO 9001 audit rules and principles.
9. Preparing complete, accurate, concise, and clear record report and distributing audit report.
10. Report the audit grade nonconformity appropriately reports.
11. Potential recommendations during the certification audit for an audited organization to auditee at a closing meeting.

Skills:

1. Ability to Conduct the activities following an initial audit activity.
2. Ability to evaluate the action plans, audit follow-ups, and surveillance activities.
3. Ability to provide guidelines and best practices to complete audit working documents and perform a quality review.
4. Ability to identify the scope, functions/processes audited.
5. Able to evaluate the related evidence, and audit conclusion.
6. Evaluate the conditions for the modification, extension, suspension, or withdrawal of an organization's certification.
7. Generate a statement on the degree to which the audit criteria have been fulfilled.
8. Distributing the audit reports (should be dated, reviewed, accepted, and appropriate) in accordance with the audit program.

6.4.7 Domain 7. Assessment/Managing an ISO 9001 Lead Auditor Programme

Knowledge for:

1. Manage the significance of protecting the integrity, availability, and confidentiality of audit records and the auditors' responsibilities in this regard.
2. Status of required actions from previous and existing management reviews.
3. Potential requirements of resources to mitigate the customers satisfactions.
4. Clarity of understanding the documented quality management procedure information.
5. Performance evaluation, efficiency check and distinguishing the role, responsibilities of each member of audit team.
6. Opportunities to improve the product and services.
7. Corrective action review of strategies and plan structure, analyze the risk analysis cost and predicted risk management.
8. Develop conflict resolution and generating potential problem solutions.
9. Follow up audit action review requirements, course revision, and clarification of doubts.

Skills:

1. Ability to demonstrate the application of the personal attributes and behaviours in audit.
2. Explanation of required actions and controls to make the decisions correct.
3. Ability to distinguish the nonconformity outputs, before and after.
4. Determining the same NCR existence in review procedure.
5. Evaluate proposals for corrective action and differentiate between preventive and corrective action.

6.5 Glossary

6.5.1 Case-Based Questions

A set of questions associated with a brief scenario.

6.5.2 Competencies

The behaviour statements which reflect the combined knowledge, abilities, skills, attitudes, and judgment expected of an entry-level registered safety professional.

6.5.3 Independent Items

Stand-alone objective examination items which contain the information necessary for responding.

6.5.4 Operational Questions

Questions appearing on the examination that has been pre-tested and that is suitable for the examination. The answer to these questions counts in the candidate's score.

6.6 Following Certification Survey

Certification Examination Survey will be sent to you after the writing window closes. You are encouraged to complete the survey and submit your feedback.

Approximately six to eight weeks following the PEEB administration, you will be mailed your results. You will be provided with your overall score and your score for each of the subject areas (domains).

To assure confidentiality, no candidate test scores will be reported over the telephone, by electronic mail or by facsimile.

6.7 Security

The PEEB maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. The PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

7 CERTIFICATION & MAINTENANCE

7.1 Obtaining your Results

If in case of online examination, once you complete your examination, the result will be displayed on your computer screen immediately and in case of paper-based examination your results will be emailed in four (4) weeks from the date of examination.

If you do not pass, you will receive instructions on how to re-sit the examination **and if you** pass, you will receive information on the necessary steps to complete the certification requirements.

If you owe any outstanding fees to the PEEB related to the application or examination process, your examination results may be withheld until your account is up to date.

7.2 Passing Score Determination

7.2.1 Appeals

Because the performance of each question on the certification exam included in the final score has been pretested, there is no appeal process to challenge individual exam questions, answers, or a failing score. The PEEB will not release or discuss individual questions with candidates. To do so would require elimination of that question from the item bank of pretested questions and deplete the number of pretested questions required to develop future versions of the certification.

Additionally, appeals may be considered for alleged inappropriate certification exam administration procedures or environmental testing conditions severe enough to cause a major disruption of the certification exam process.

All appeals must be submitted in writing. Eligibility appeals must be received within fifteen (15) days of the notification of your assessment results. Appeals for alleged inappropriate administration procedures or severe adverse environmental testing conditions must be received within fifteen (15) days of the release of certification exam results.

7.2.2 Upon Successful Completion of Certification

Once approved, you are encouraged to use the credential on correspondence, business cards and all forms of address. Certification is for individuals only. The certification credential may not be used to imply that an organisation is certified.

7.2.3 Upon Unsuccessful Certification Exam

If certification exam is unsuccessful, candidate can sit 3 times in a year in PEEB certification examination.

7.2.4 Achieving Certification

On successful certification an online certificate (Portable Document Format PDF) will be shared through email which can be verified electronically through MY PEEB.

PEEB Directories: PEEB publishes directories of individuals who currently hold the certification. An abbreviated format, containing names, cities, and states, appears on the PEEB website and allows viewers to confirm if a person currently holds a certification.

7.3 Maintaining Your Certification

To retain your certification, you must:

- Inform PEEB when your mail or email address **changes.**
- Pay your annual **fee.**
- Complete Recertification requirements

7.3.1 Changing Your Name

If you change your name through marriage or other court proceedings, you may request a name change by contacting info@peebonline.com additionally, you must provide a copy of the court record or marriage certificate to register the change.

7.3.2 Paying Your Annual Renewal Fee

The authority to use the certification title is valid for one year. It must be renewed annually. You will receive a prorated fee for the remainder of the year in which you pass the examination. Each following year, PEEB will send you a notice when your annual renewal fee is due. PEEB gives you several options for paying the fee online via a credit card or by phone. After receiving your payment, PEEB will post your instant wallet card and email you a receipt.

7.3.3 Reinstatement

If you fail to pay your annual renewal fee on time or fail to achieve the required recertification points every three years, PEEB will send you a notice that your credential has been invalidated and you no longer hold the certification.

7.4 Recertification

Certification holder required to maintain certification by fulfilling the requirements of the Certification Maintenance Program (CMP). The Certification is valid for three years. To maintain his/her certification, the applicant must demonstrate every year that he/she is still performing tasks that are related to the certification.

Certified Professionals should engage in appropriate continual professional development activities to maintain the necessary knowledge to perform their tasks with competence. Depending on the certification applicable, these activities include education, work experience, auditor training, audit experience, implementation and/or consulting experience.

This may be achieved through means such as additional work experience, training, private study, coaching, attendance at meetings, seminars and conferences or other relevant activities.

When to submit CPD Logs: The certified professionals will need to provide with the number of hours of CPD related tasks they have performed with the contact details of individuals / organization who

can validate these tasks. The CPD can be maintained and logged in MY PEEB application once any activity is completed.

The CPD must be submitted every year, starting from their initial certificate issuance date, as well as paying their Annual Maintenance Fee (AMF).