



GAICC ISO/IEC 42001 Lead Auditor

Candidate Handbook

Field	Detail
Certification	GAICC ISO/IEC 42001 Lead Auditor
Handbook code	GAICC-CH-42001-LA-001
Version	v1.0
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Standard	ISO/IEC 42001:2023, ISO 19011:2018, ISO/IEC 17021-1:2015
Level	Practitioner — auditing

GAICC · Global AI Certification Council Limited · NZ Company 9371200 · Auckland, New Zealand

This handbook gives candidates everything needed to prepare for, book, sit and maintain the certification. Read it with the Examination Content Outline and the Code of Ethics.

1 About this certification

Confirms the competence to lead second-party and initial third-party AIMS audits at Stage 1 and Stage 2 — audit-team leadership, programme management, findings classification and reporting.

Who it is for: Auditors and governance professionals leading AIMS audits.

2 Eligibility and prerequisites

Foundation-level knowledge of ISO/IEC 42001 and familiarity with auditing are recommended.

Formal training: completion of at least 32 contact hours of structured ISO/IEC 42001 Lead Auditor training delivered by GAICC-authorized providers or equivalent recognised institutions. Students can also fulfil this requirement by completing GAICC self-paced courses.

Certification is open to all eligible candidates without discrimination. Reasonable adjustments are available (Section 11).

3 The exam at a glance

Item	Detail
Total questions	60 scored
Format	45 single-answer MCQ (A–D) + 15 multi-answer (5 options A–E, select all that apply, no partial credit)
Time allowed	90 minutes
Pass mark	70% (provisional; confirmed per exam by a modified-Angoff standard-setting study)
Delivery	Online AI-proctored or approved test-centre
Open book	No — closed book
Languages	English (other languages on request)
Attempts	One attempt per registration; resits per the retake policy below

4 What the exam tests

The exam is built to the Examination Content Outline (ECO). Domains and approximate weightings:

#	Domain	Weight
I	Governance & Leadership	25%
II	Audit of Implementation & Operational Control	40%
III	Performance Evaluation & Continual Improvement	20%
IV	Ethics, Transparency & External Engagement	15%
	Total	100%

Weightings are approximate and may vary slightly by form. The current ECO is the authoritative blueprint.

5 Booking, identity and exam-day conduct

- Book through the GAICC learning hub; you will receive joining instructions and system-check details.
- Have government-issued photo ID ready for identity verification before the exam starts.
- Ensure a quiet, private space and a stable internet connection for online proctoring.
- No notes, devices, or assistance are permitted (closed book). Breaks are not permitted unless an approved adjustment applies.

6 Proctoring and exam security

Online exams are proctored to protect exam integrity and the value of the credential. Proctoring may use automated and/or live monitoring; candidates consent to proctoring as part of booking. Examination content is confidential and may not be copied, recorded or shared; doing so is misconduct and may lead to result invalidation and withdrawal of certification. GAICC's use of any AI in proctoring is governed by its AI Use Register and AI disclosure.

7 Results and feedback

Results are reported on completion: overall scaled score, pass/fail status, and per-domain performance feedback. Provisional results may be confirmed after a standard post-exam integrity review. Certificates and a digital badge are issued to successful candidates.

8 Retake policy

A candidate who does not pass may resit. One attempt is included per registration; a discounted re-examination fee applies to each resit. A minimum 30-day interval applies between attempts, and up to two resits are permitted within a 12-month period. After that, candidates retake under a new registration.

9 Fees

Fees are shown in US dollars and are payable before the examination. GAICC operates an optional annual-membership model; the member rate below applies to candidates who already hold a current GAICC membership. Membership is purchased separately and is not included in the examination fee.

Item	Fee
GAICC Annual Membership	\$99 / 12 months
Examination fee — non-member / member	\$249 / \$149
Renewal & re-examination fees	Published annually at www.gaicc.org

Refunds and transfers: requests are handled under GAICC's published refund and transfer policy; fees are generally non-refundable once exam access is issued.

10 Certification, validity and recertification

The certification is valid for three years from the date of certification. To maintain it, the certified person completes 32 hours of continuing professional development (CPD) over the three-year cycle, reaffirms the GAICC Code of Ethics, and remains in good standing. CPD is allocated as:

CPD category	Hours per 3-year cycle
Learning	11 — courses, webinars, conferences, structured study
Practice	11 — applied work in the certified domain
Contribution	5 — writing, presenting, mentoring, committee/standards work
Elective	5 — other relevant professional development

Where CPD evidence is insufficient, or a certification has lapsed beyond the grace period, or the standard or scheme has changed materially, re-examination is required. A three-month grace period applies after expiry. This mirrors the GAICC Recertification Procedure (GAICC-QMS-PRO-REC-001), which applies consistently across all GAICC certifications.

11 Reasonable adjustments and accessibility

Candidates who need a reasonable adjustment (for example extra time, assistive technology, or a rest break) should request it at booking with supporting information. GAICC accommodates legitimate needs while preserving exam security and the integrity of the assessment.

12 Use of the certificate and the GAICC marks

Certified persons may state that they hold the certification while it is valid, and use the GAICC certification mark in accordance with the Use of Certificates and Marks procedure. The certification applies to the named individual, is not transferable, and must not be used in a misleading way or to imply accreditation that has not been granted. Lapsed or withdrawn certificants must cease use of the certification and marks.

13 Code of ethics

Candidates and certified persons agree to the GAICC Code of Ethics — acting with integrity, competence and objectivity, protecting confidential information, and using the credential honestly. Breaches may lead to withdrawal of certification.

14 Appeals, complaints and misconduct

A candidate may appeal a certification decision, and anyone may raise a complaint, through GAICC's Appeals and Complaints process; appeals are handled impartially by people not involved in the original decision. Suspected exam misconduct is investigated and may result in result invalidation and withdrawal of certification.

15 Privacy and contact

GAICC processes candidate personal information solely to deliver certification and to demonstrate the integrity and impartiality of the scheme to its accreditation body, in line with its privacy obligations. Questions about this handbook, bookings, adjustments, appeals or recertification: support@gaicc.org.