



# Candidate Handbook

ISO 37001 LEAD IMPLEMENTER



## Table of Contents

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<b>SECTION I: INTRODUCTION .....</b>	<b>3</b>
About PECB .....	3
The Value of PECB Certification.....	4
PECB Code of Ethics.....	5
<b>SECTION II: PECB CERTIFICATION PROCESS AND EXAMINATION PREPARATION, RULES, AND POLICIES .....</b>	<b>7</b>
Decide Which Certification Is Right for You .....	7
Prepare and Schedule the Exam .....	7
Competency Domains .....	8
Taking the Exam.....	17
Receiving the Exam Results .....	19
Exam Retake Policy.....	19
Exam Security.....	20
Apply for Certification.....	20
Renew your Certification .....	20
<b>SECTION III: CERTIFICATION REQUIREMENTS .....</b>	<b>22</b>
ISO 37001 Lead Implementer.....	22
<b>SECTION IV: CERTIFICATION RULES AND POLICIES .....</b>	<b>23</b>
Professional Experience .....	23
Evaluation of Certification Applications .....	23
Denial of Certification .....	23
Suspension of Certification .....	23
Revocation of Certification.....	24
Upgrade of Credentials .....	24
Downgrade of Credentials .....	24
Other Statuses.....	24
<b>SECTION V: PECB GENERAL POLICIES.....</b>	<b>25</b>

## SECTION I: INTRODUCTION

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### About PECB

PECB is a certification body which provides education<sup>1</sup> and certification in accordance with ISO/IEC 17024 for individuals on a wide range of disciplines.

We help professionals show commitment and competence by providing them with valuable evaluation and certification services against internationally recognized standards. Our mission is to provide services that inspire trust and continual improvement, demonstrate recognition, and benefit the society as a whole.

#### The key objectives of PECB are:

1. Establishing the minimum requirements necessary to certify professionals
2. Reviewing and verifying the qualifications of applicant to ensure they are eligible to apply for certification
3. Developing and maintaining reliable certification evaluations
4. Granting certifications to qualified candidates, maintaining records, and publishing a directory of the holders of a valid certification
5. Establishing requirements for the periodic renewal of certification and ensuring compliance with those requirements
6. Ensuring that candidates meet ethical standards in their professional practice
7. Representing its members, where appropriate, in matters of common interest
8. Promoting the benefits of certification to organizations, employers, public officials, practitioners in related fields, and the public

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<sup>1</sup> Education refers to training courses developed by PECB, and offered globally through our network of partners.  
PECB Candidate Handbook



## The Value of PECB Certification

### Why Choose PECB as Your Certification Body?

#### Global Recognition

Our certifications are internationally recognized and accredited by the International Accreditation Service (IAS); signatory of IAF Multilateral Recognition Arrangement (MLA) which ensures mutual recognition of accredited certification between signatories to the MLA and acceptance of accredited certification in many markets. Therefore, professionals who pursue a PECB certification credential will benefit from PECB's recognition in domestic and international markets.

#### Competent Personnel

The core team of PECB consists of competent individuals who have relevant sector-specific experience. All of our employees hold professional credentials and are constantly trained to provide more than satisfactory services to our clients.

#### Compliance with Standards

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

#### Customer Service

We are a customer-centered company and treat all our customers with value, importance, professionalism, and honesty. PECB has a team of experts dedicated to support customer requests, problems, concerns, needs, and opinions. We do our best to maintain a 24-hours maximum response time without compromising the quality of the service.



## PECB Code of Ethics

### PECB professionals will:

1. Conduct themselves professionally, with honesty, accuracy, fairness, responsibility, and independence
2. Act at all times solely in the best interest of their employer, their clients, the public, and the profession, by adhering to the professional standards and applicable techniques while offering professional services
3. Maintain competency in their respective fields and strive to constantly improve their professional capabilities
4. Offer only professional services for which they are qualified to perform, and adequately inform clients about the nature of the proposed services, including any relevant concerns or risks
5. Inform each employer or client of any business interests or affiliations that might influence their judgment or impair their fairness
6. Treat in a confidential and private manner the information acquired during professional and business dealings of any present or former employer or client
7. Comply with all laws and regulations of the jurisdictions where professional activities are conducted
8. Respect the intellectual property and contributions of others
9. Not, intentionally or otherwise, communicate false or falsified information that may compromise the integrity of the evaluation process of a candidate for a professional designation
10. Not act in any manner that could compromise the reputation of PECB or its certification programs
11. Fully cooperate on the inquiry following a claimed infringement of this Code of Ethics

The full version of the PECB Code of Ethics can be downloaded [here](#).

## Introduction to ISO 37001 Lead Implementer

ISO 37001 specifies the requirements for an anti-bribery management system where an organization:

- Needs to demonstrate its commitment to combat bribery of the organization, by the organization, of the organization's personnel, by the organization's personnel, of business associates and by business associates in compliance with regulatory requirements.
- Needs to demonstrate its commitment to prevent, detect and address bribery risk
- Needs to enhance an anti-bribery culture within the organization and among employees
- Needs to address risks and opportunities associated with the context and objectives, and
- Needs to demonstrate conformity to specified anti-bribery management system requirements.

All requirements of ISO 37001 are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.

Applicability of ISO 37001 requirement(s) must be reviewed as their applicability depends on the organization's size and complexity, organization's activities and management model, as well as the risks and opportunities it encounters.

Today's employers are not just seeking Anti-bribery Management professionals, but want proof that these professionals hold a predetermined set of knowledge and skills. Companies now place a high degree of importance on hiring, contracting with, and promoting credentialed practitioners prepared to tackle today and tomorrow's Service challenges.

It is important to understand that PECB certifications are not a license or simply a membership. It is peer recognition that an individual has demonstrated proficiency in, and comprehension of, a series of competencies. PECB certifications are awarded to candidates that can provide proof of experience, professional references and have passed a standardized exam in the certification area.

This document specifies the PECB ISO 37001 certification schemes in compliance with the ISO/IEC 17024:2012 standard (Conformity assessment – General Requirements for bodies operating certification of persons). Also, this handbook contains information about the process by which candidates may earn and maintain their credentials. It is very important that you read all the information contained in this booklet before completing and submitting your application. If questions arise after reading this application handbook, please contact the PECB office at [certification@pecb.com](mailto:certification@pecb.com).

## SECTION II: PECB CERTIFICATION PROCESS AND EXAMINATION PREPARATION, RULES, AND POLICIES

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### Decide Which Certification Is Right for You

All PECB certifications have specific education and professional experience requirements. To determine the right credential for you, verify the eligibility criteria for various certifications and your professional needs.

### Prepare and Schedule the Exam

All candidates are responsible for their own study and preparation for certification exams. No specific set of training courses or curriculum of study is required as part of the certification process. Nevertheless, attending a training course can significantly increase candidates' chances of successfully passing a PECB exam.

To schedule an exam, candidates have two options:

1. Contact one of our partners who provide training courses and exam sessions. To find a training course provider in a particular region, candidates should go to [Active Partners](#). The PECB training course schedule is also available on [Training Events](#).
2. Take a PECB exam remotely from their home or any location they desire through the PECB Exam application, which can be accessed here: [Exam Events](#).

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

### Application Fees for Examination and Certification

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

- Lead Exam: \$1000
- Manager Exam: \$700
- Foundation and Transition Exam: \$500

The application fee for certification is \$500.

For all candidates that have followed the training course and taken the exam with one of PECB's partners, the application fee includes the costs associated with examination, application for certification, and the first year of Annual Maintenance Fee (AMF) only.



## Competency Domains

The objective of the “PECB Certified ISO 37001 Lead Implementer” exam is to ensure that the candidate has the necessary competence to support an organization in establishing, implementing, operating, maintaining, and continually improving an anti-bribery management system (ABMS).

### The ISO 37001 Lead Implementer exam is intended for:

- Managers and consultants wishing to develop a thorough understanding of ISO 37001 requirements for an anti-bribery management system
- Managers and consultants seeking a comprehensive implementation framework
- Managers responsible for practicing due diligence with regard to bribery risks
- Individuals wishing to contribute to maintaining organizational integrity by supporting ethical behavior
- Managers and members of governance, risk management, and compliance teams
- Individuals aspiring to become anti-bribery consultants

The exam covers the following competency domain:

- **Domain 1:** Fundamental principles and concepts of an anti-bribery management system
- **Domain 2:** Anti-bribery management system (ABMS) requirements
- **Domain 3:** Planning of an ABMS implementation based on ISO 37001
- **Domain 4:** Implementation of an ABMS based on ISO 37001
- **Domain 5:** Monitoring and measurement of an ABMS based on ISO 37001
- **Domain 6:** Continual improvement of an ABMS based on ISO 37001
- **Domain 7:** Preparation for an ABMS certification audit



## Domain 1: Fundamental principles and concepts of an anti-bribery management system (ABMS)

**Main objective:** Ensure that the candidate understands and is able to interpret ISO 37001 principles and concepts

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to understand the applicability and scope of ISO 37001</li> <li>2. Ability to explain the connection between ISO 37001 and other ISO standards, such as ISO 19600, ISO 31000, and ISO 26000</li> <li>3. Ability to communicate the advantages of implementing an ABMS based on ISO 37001</li> <li>4. Ability to illustrate the connection between ISO 37001 and Sustainable Development Goals (SDGs)</li> <li>5. Ability to explain what a management system is</li> <li>6. Ability to understand the structure of ISO 37001</li> <li>7. Ability to distinguish between the core terms related to ABMS: bribery, bribery risk, business associate, public official, conflict of interest</li> <li>8. Ability to explain the anti-bribery management principles, as defined by UK's Ministry of Justice</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the ISO 37001 scope</li> <li>2. Knowledge of the relationship between ISO 37001 and other ISO standards</li> <li>3. Knowledge of the advantages of implementing an ABMS based on ISO 37001</li> <li>4. Knowledge of the relationship between ISO 37001 and SDGs</li> <li>5. Knowledge of the ISO's definition for a management system</li> <li>6. Knowledge of ISO 37001's structure</li> <li>7. Knowledge of the core terms related to the ABMS and ISO's definitions for those terms</li> <li>8. Knowledge of the six principles of anti-bribery management, as set out by UK Ministry of Justice</li> </ol>

## Domain 2: Anti-bribery management system (ABMS) requirements

**Main objective:** Ensure that the candidate understands and is able to interpret and provide guidance on how to implement and manage an ABMS based on the requirements and guidance of ISO 37001

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to implement an ABMS based on the requirements of ISO 37001</li> <li>2. Ability to describe the standard’s requirements with regard to the context of the organization, interested parties, ABMS scope, and bribery risk assessment (clause 4)</li> <li>3. Ability to work with and encourage the top management and governing body to demonstrate leadership and commitment, establish an anti-bribery policy, and identify the roles and responsibilities related to the ABMS (clause 5)</li> <li>4. Ability to identify risks and opportunities and to define anti-bribery objectives (clause 6)</li> <li>5. Ability to ensure that sufficient resources are available to implement, operate, and maintain the ABMS (clause 7)</li> <li>6. Ability to implement and operate the ABMS and its processes and controls (clause 8)</li> <li>7. Ability to use monitoring, measurement, analysis, and evaluation to support the effective management of the ABMS (clause 9)</li> <li>8. Ability to analyze and take appropriate actions when nonconformities occur and to continually improve the suitability, adequacy, and effectiveness of the ABMS (clause 10)</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the ISO 37001 requirements and guidance</li> <li>2. Knowledge of the common external and internal issues that affect the context of an organization, approaches to establishing the scope, as well as the methodologies used for bribery risk assessments</li> <li>3. Knowledge of the requirements with regard to top management and governing body involvement and methods to define roles and responsibilities</li> <li>4. Knowledge of the approaches used in risk management and strategies used in establishing objectives</li> <li>5. Knowledge of the required resources, competences, awareness, and documented information for an effective ABMS</li> <li>6. Knowledge of the requirements for operational planning and control and the processes that must include specific controls (due diligence, financial and non-financial controls, anti-bribery commitments, investigating and dealing with bribery, etc.)</li> <li>7. Knowledge of the approaches, techniques, and programs used for the monitoring, measurement, analysis, evaluation, internal audits, and management reviews</li> <li>8. Knowledge of the requirement and approaches to dealing with nonconformities and initiating corrective actions, as well as the methods to continually improve an ABMS</li> </ol>

## Domain 3: Planning of an ABMS implementation based on ISO 37001

**Main objective:** Ensure that the candidate is able to plan the implementation of the ABMS based on ISO 37001 requirements and guidance

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to help an organization determine external and internal issues relevant to its purpose and that can affect the ability to achieve the intended outcomes of the ABMS</li> <li>2. Ability to identify the interested parties of an organization</li> <li>3. Ability to conduct a gap analysis</li> <li>4. Ability to assist an organization in establishing the scope of the ABMS</li> <li>5. Ability to develop an anti-bribery policy to orientate an organization with regard to anti-bribery</li> <li>6. Ability to establish anti-bribery objectives at relevant functions and levels</li> <li>7. Ability to identify risks and opportunities to the ABMS</li> <li>8. Ability to determine the optimal human, technical, informational, and financial resources needed for the ABMS</li> <li>9. Ability to plan and manage the competences needed to operate the ABMS</li> <li>10. Ability to raise awareness with regard to the ABMS among the persons doing work under the organization's control</li> <li>11. Ability to communicate relevant information to support ethical behavior, the ABMS, and the achievement of anti-bribery objectives</li> <li>12. Ability to ensure that the organization properly controls the necessary documented information</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the approaches used in determining the external and internal issues of an organization</li> <li>2. Knowledge of the techniques used for the identification and management of interested parties</li> <li>3. Knowledge of the gap analysis methodologies</li> <li>4. Knowledge of the standard's requirements for the ABMS scope and other factors that influence its establishment</li> <li>5. Knowledge of the standard's requirements for an anti-bribery policy, approaches to developing a policy, and the suggested policy content and structure</li> <li>6. Knowledge of the approaches used in establishing objectives</li> <li>7. Knowledge of risk assessment methodologies, such as the one recommended by ISO 31000</li> <li>8. Knowledge of the typical resources required for the establishment, implementation, and maintenance of a management system</li> <li>9. Knowledge of competence analysis approaches and training programs</li> <li>10. Knowledge of the common strategies and approaches used for raising awareness</li> <li>11. Knowledge of the principles of effective communication and methods</li> <li>12. Knowledge of the actions required to ensure the control, availability, and suitability of essential documented information</li> </ol>

## Domain 4: Implementation of an ABMS based on ISO 37001

**Main objective:** Ensure that the candidate is able to implement the processes of an ABMS required for an ISO 37001 certification

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to conduct due diligence in relation to specific transactions, projects, activities, business associates, and personnel</li> <li>2. Ability to implement financial controls that manage bribery risk</li> <li>3. Ability to implement non-financial controls that manage bribery risk</li> <li>4. Ability to ensure that reasonable and proportionate anti-bribery procedures are established by business associates and other organizations under the control of the organization</li> <li>5. Ability to draft anti-bribery commitments to which business associates must adhere</li> <li>6. Ability to implement procedures regarding gifts, hospitality, donations, and similar benefits</li> <li>7. Ability to determine the actions to be taken when anti-bribery controls are deemed inappropriate</li> <li>8. Ability to implement appropriate procedures about raising concerns</li> <li>9. Ability to establish procedures that allow organizations to investigate and deal with bribery</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the requirements for due diligence, as well as the categories to which it is applied</li> <li>2. Knowledge of the potential financial controls that could be implemented in specific cases</li> <li>3. Knowledge of the approaches used in establishing non-financial controls and their applicability</li> <li>4. Knowledge of the requirements and procedures that business associates and other organizations under the control of the main organization implement to combat bribery</li> <li>5. Knowledge of the applicability of anti-bribery commitments and approaches used to establish them</li> <li>6. Knowledge of the possible controls that organizations could implement with regard to gifts, hospitality, donations, and other benefits</li> <li>7. Knowledge of the actions and cases the organization is required to undertake when anti-bribery controls are deemed inappropriate</li> <li>8. Knowledge of the requirements that an organization must adhere to regarding the procedures for raising concerns</li> <li>9. Knowledge of the possible approaches used for the investigation and dealing with bribery, as well as the standard's requirements in this regard</li> </ol>

## Domain 5: Monitoring and measurement of an ABMS based on ISO 37001

**Main objective:** Ensure that the candidate is able to evaluate, monitor, and measure the performance of an ABMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to monitor and evaluate the effectiveness of an ABMS</li> <li>2. Ability to determine information needs</li> <li>3. Ability to define the measurement-related roles and responsibilities</li> <li>4. Ability to establish performance indicators</li> <li>5. Ability to establish appropriate procedures for reporting the results to relevant interested parties</li> <li>6. Ability to verify to what extent the identified anti-bribery objectives have been met</li> <li>7. Ability to define and implement an ABMS internal audit program</li> <li>8. Ability to perform regular and methodical reviews to ensure the suitability, adequacy, effectiveness, and efficiency of an ABMS based on the policies and objectives of the organization</li> <li>9. Ability to define and perform a management review process</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the best practices and techniques used to monitor and evaluate the effectiveness of an ABMS</li> <li>2. Knowledge of the importance of defining information needs and the activities that can be performed to determine them</li> <li>3. Knowledge of the functions involved in monitoring, measurement, analysis, and evaluation</li> <li>4. Knowledge of the purpose of performance indicators and approaches to establishing them</li> <li>5. Knowledge of the approaches used in reporting the results</li> <li>6. Knowledge of the concepts related to measurement and evaluation</li> <li>7. Knowledge of the main concepts and components related to the implementation and operation of an ABMS internal audit program</li> <li>8. Knowledge of the difference between a major and a minor nonconformity</li> <li>9. Knowledge of the guidelines and best practices to draft a nonconformity report</li> <li>10. Knowledge of the best practices used to perform management reviews</li> </ol>

## Domain 6: Continual improvement of an ABMS based on ISO 37001

**Main objective:** Ensure that the candidate is able to provide guidance on the continual improvement of an ABMS

<b>Competencies</b>	<b>Knowledge statements</b>
<ol style="list-style-type: none"> <li>1. Ability to track and take action on nonconformities</li> <li>2. Ability to identify and analyze the root causes of nonconformities and propose action plans to treat them</li> <li>3. Ability to guide an organization on how to continually improve the effectiveness and efficiency of an ABMS</li> <li>4. Ability to implement continual improvement processes in an organization</li> <li>5. Ability to determine the appropriate tools to support the continual improvement processes of an organization</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the main processes, tools, and techniques used to identify the root causes of nonconformities</li> <li>2. Knowledge of the treatment of nonconformities process</li> <li>3. Knowledge of the main processes, tools, and techniques used to develop corrective action plans</li> <li>4. Knowledge of the main concepts related to continual improvement</li> <li>5. Knowledge of the processes related to the continual monitoring of change factors</li> <li>6. Knowledge of the maintenance and improvement of an ABMS</li> </ol>

## Domain 7: Preparation for an ABMS certification audit

**Main objective:** Ensure that the candidate is able to prepare an organization for the certification against ISO 37001

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to understand the main steps, processes, and activities related to the ISO 37001 certification audit</li> <li>2. Ability to understand, explain, and illustrate the audit evidence approach in an ABMS audit</li> <li>3. Ability to counsel an organization to identify and select a certification body that meets their expectations</li> <li>4. Ability to determine an organization's preparation for the ISO 37001 certification audit</li> <li>5. Ability to train and prepare an organization's personnel for the ISO 37001 certification audit</li> <li>6. Ability to argue and challenge the audit findings and conclusions with external auditors</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the evidence-based approach to an audit</li> <li>2. Knowledge of the types of audit and their differences</li> <li>3. Knowledge of the differences between Stage 1 and Stage 2 audits</li> <li>4. Knowledge of the Stage 1 audit requirements, steps, and activities</li> <li>5. Knowledge of the documented information review criteria</li> <li>6. Knowledge of the Stage 2 audit requirements, steps, and activities</li> <li>7. Knowledge of the audit follow-up requirements, steps, and activities</li> <li>8. Knowledge of the surveillance audits and recertification audit requirements, steps, and activities</li> <li>9. Knowledge of the requirements, guidelines, and best practices for developing action plans following an ISO 37001 certification audit</li> </ol>

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				% of the exam devoted to each competency domain	Number of points per competency domain	% of points per competency domain
		Points per question	Questions that measure comprehension, application, and analysis	Questions that measure evaluation	Number of questions per competency domain			
Competency domains	Fundamental principles and concepts of an anti-bribery management system	5	X		1	8.33	5	6.67
	Anti-bribery management system (ABMS) requirements	5	X		1	8.33	5	6.67
	Planning the ABMS implementation based on ISO 37001	5		X	1	8.33	5	6.67
	Implementing the ABMS based on ISO 37001	5	X		4	33.33	30	40
		5	X					
		10		X				
		10		X				
	Performance evaluation, monitoring and measurement of the ABMS based on ISO 37001	5			3	25	15	20
		5	X					
		5	X					
Continual improvement of the ABMS based on ISO 37001	5		X	1	8.33	5	6.67	
Preparing for an ABMS certification audit	10		X	1	8.33	10	13.34	
Total points		75						
Number of questions per level of understanding			6	6				
% of the exam devoted to each level of understanding (cognitive/taxonomy)			50	50				

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

After successfully passing the exam, candidates will be able to apply for a PECB Certified ISO 37001 Lead Implementer credential, depending on their level of experience.



## Taking the Exam

### General Information on 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 detailed information about the online format, please refer 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. They 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 is open book and is not intended to measure memorizing or recalling information. It 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. You will find a sample of exam questions provided below.

Since the exam is "open book," candidates are authorized to use the following reference materials:

- A hard copy of ISO 37001 standard
- Training course materials (accessed through PECB Exams app and/or printed)
- Any personal notes taken during the training course (accessed through PECB Exams app and/or printed)

- A hard copy dictionary

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

PECB exams are available in English and other languages. To learn if the exam is available in a particular language, please contact [examination@pecb.com](mailto:examination@pecb.com).

**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). All PECB multiple-choice exams have one question and three alternatives, of which only one is correct.

For specific information about exam types, languages available, and other details, visit the [List of PECB Exams](#).

## Sample Exam Questions

### 1. Interpretation of ISO clauses

For each of the following clauses of ISO 37001, provide an action plan with at least two concrete actions that would be acceptable to ensure conformity to the clause and fulfill control objectives.

#### **Clause 5.2 Anti-bribery policy**

##### **Possible answer:**

- *Establishment of a an anti-bribery policy compliant with anti-bribery objectives of the company and appropriate to the purpose of the company*
- *Communication of anti-bribery policy in appropriate languages within the organization and to business associate who pose more than a low risk of bribery*

### 2. Development of metrics

For each of the following clauses of ISO 37001, provide two examples of metrics that would be acceptable to measure the conformity to the clause.

#### **Clause 9.3 Internal audit**

##### **Possible answer:**

- *Number of internal audits that have been conducted at the planned time*
- *Results of internal audits*

## Receiving the Exam Results

Exam results will be communicated via email. The only possible results are *pass* and *fail*; no specific grade will be included.

- 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 [results@pecb.com](mailto:results@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, s/he must wait 15 days after the initial date of the exam for the next attempt (1<sup>st</sup> 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, because 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.

# PECB

## Exam Security

A significant component of a professional certification credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certification holders and applicants to maintain the security and confidentiality of PECB exams. Any disclosure of information about the content of PECB exams is a direct violation of PECB's Code of Ethics. PECB will take action against any individuals that violate such rules and policies, including permanently banning individuals 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.

## Reschedule the Exam

For any changes with regard to the exam date, time, location, or other details, please contact [examination@pecb.com](mailto:examination@pecb.com).

## Apply for Certification

All candidates who successfully pass the exam (or an equivalent accepted by PECB) are entitled to apply for the PECB credentials they were examined 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 online profile), including contact details of references who will be contacted to validate the candidate's professional experience. Candidates can submit their application in various languages. Candidates can choose to either pay online or be billed. For additional information, contact [certification@pecb.com](mailto:certification@pecb.com).

The online certification application process is very simple and takes only a few minutes, as follows:

- [Register](#) your account
- Check your email for the confirmation link
- [Log in](#) to apply for certification

For more information about the application process, follow the instructions on this manual [Apply for Certification](#).

The application is approved as soon as the Certification Department validates that the candidate fulfills all the certification requirements regarding the respective credential. An email will be sent to the email address provided during the application process to communicate the application status. If approved, candidates will then be able to download the certification from their PECB Account.

PECB provides support in both English and French.

## Renew your Certification

PECB certifications are valid for three years. To maintain them, candidates must demonstrate every year that they are still performing tasks that are related to the certification. PECB certified professionals must annually provide Continual Professional Development (CPD) credits and pay \$100 as the Annual Maintenance Fee (AMF) to maintain the certification. For more information, please visit the [Certification Maintenance](#) page on the PECB website.

## **Closing a Case**

If candidates do not apply for certification within three years, 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 and pay the required fee.

## SECTION III: CERTIFICATION REQUIREMENTS

### ISO 37001 Lead Implementer

The requirements for PECB ISO 37001 Lead Implementer certifications are:

Credential	Exam	Professional experience	MS project experience	Other requirements
<b>PECB Certified ISO 37001 Provisional Implementer</b>	PECB Certified ISO 37001 Lead Implementer exam or equivalent	None	None	Signing the PECB Code of Ethics
<b>PECB Certified ISO 37001 Implementer</b>	PECB Certified ISO 37001 Lead Implementer exam or equivalent	Two years: One year of work experience in Anti-bribery Management	Project activities: a total of 200 hours	Signing the PECB Code of Ethics
<b>PECB Certified ISO 37001 Lead Implementer</b>	PECB Certified ISO 37001 Lead Implementer exam or equivalent	Five years: Two years of work experience in Anti-bribery Management	Project activities: a total of 300 hours	Signing the PECB Code of Ethics
<b>PECB Certified ISO 37001 Senior Lead Implementer</b>	PECB Certified ISO 37001 Lead Implementer exam or equivalent	Ten years: Seven years of work experience in Anti-bribery Management	Project activities: a total of 1,000 hours	Signing the PECB Code of Ethics

To be considered valid, the implementation activities should follow best implementation and management practices and include the following:

1. Drafting the ABMS plan
2. Initiating the ABMS implementation
3. Implementing the ABMS
4. Managing, monitoring, and maintaining the ABMS
5. Identifying and acting upon continual improvement opportunities

## SECTION IV: CERTIFICATION RULES AND POLICIES

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### 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 ABMS project 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.

### 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.

### ABMS Project Experience

The candidate's ABMS project log will be checked to ensure that the candidate has the required number of implementation hours.

### Evaluation of Certification Applications

The Certification Department will evaluate each application to validate the candidate's eligibility for certification. 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 can eventually lead to its downgrade to a lower credential.

### Denial of Certification

PECB can deny certification if candidates:

- Falsify the application
- Violate the exam procedures
- Violate the PECB Code of Ethics
- Fail the exam

For more detailed information, refer to "Complaint and Appeal" section.

The application payment for the certification is non-refundable.

### Suspension of Certification

PECB can temporarily suspend certification if the candidate fails to satisfy the requirements. Other reasons for suspending certification include:

- PECB receives large amounts of or serious complaints by interested parties (Suspension will be applied until the investigation has been completed.).
- The logos of PECB or accreditation bodies are intentionally misused.

# PECB

- The candidate fails to correct the misuse of a certification mark within the time frame determined by PECB.
- The certified individual has voluntarily requested a suspension.
- PECB deems appropriate other conditions for suspension of certification.

## Revocation of Certification

PECB can revoke certification if the candidate fails to fulfill the PECB requirements. Candidates are then no longer allowed to represent themselves as PECB certified professionals. Other reasons for revoking certification can be if candidates:

- Violate the PECB Code of Ethics
- Misrepresent and provide false information of the scope of the certification
- Break any other PECB rules

## Upgrade of Credentials

Professionals can apply to upgrade to a higher credential as soon as they can demonstrate that they fulfil the requirements.

In order to apply for an upgrade, candidates need to login in to their PECB Account, visit the “My Certifications” tab, and click on the “Upgrade” link. 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. On the other hand, the holders of Master Certifications who fail to submit CPDs and pay AMFs will have their certifications revoked.*

## Other Statuses

Besides being active, suspended, or revoked, a certification can be voluntarily withdrawn or designated as Emeritus. More information about these statuses and the permanent cessation status, and how to apply, please visit [Certification Status Options](#).



## SECTION V: PECB GENERAL POLICIES

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### PECB Code of Ethics

Adherence to the PECB Code of Ethics is a voluntary engagement. It is important that PECB certified professionals not only adhere to the principles of this Code, but also encourage and support the same from others. More information can be found [here](#).

### Other Exams and Certifications

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 candidate's age, gender, race, religion, nationality, or marital status.

To ensure equal opportunities for all qualified persons, PECB will make reasonable accommodations 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. Any information candidates provide regarding their disability/need will be treated with strict confidentiality.

Click [here](#) to download the Candidates with Disabilities Form.

### Complaints and Appeals

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 they do not find the response satisfactory, the candidate has the right to file an appeal. For more information about the complaints and appeal procedures, click [here](#).

(1) 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.

(2) 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.

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**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.

**Emails:**

Examination: [examination@pecb.com](mailto:examination@pecb.com)  
Certification: [certification@pecb.com](mailto:certification@pecb.com)  
Customer Service: [customer@pecb.com](mailto:customer@pecb.com)

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