

PECB

When Recognition Matters



EXAM PREPARATION GUIDE

PECB Certified ISO 37001 Lead Implementer

The objective of the “PECB Certified ISO 37001 Lead Implementer” examination is to ensure that the candidate has the knowledge and skills to support an organization in implementing and managing an Anti-bribery Management System (ABMS) based on ISO 37001:2016.

The target population for this examination is:

- Project managers or consultants wanting to prepare and support an organization in the implementation of an Anti-bribery Management System (ABMS);
- ISO 37001 auditors who wish to fully understand the ABMS implementation process;
- Persons responsible for the anti-bribery or conformity in an organization;
- Members of an anti-bribery team;
- Expert advisors in Anti-bribery Management System;
- Experts who want to prepare for an anti-bribery function, or for an ABMS project management function.

The exam content covers the following domains:

- **Domain 1:** Fundamental principles and concepts of an Anti-bribery Management System
- **Domain 2:** Anti-bribery Management System best practices based on ISO 37001:2016
- **Domain 3:** Planning an ABMS based on ISO 37001:2016
- **Domain 4:** Implementing an ABMS based on ISO 37001:2016
- **Domain 5:** Performance evaluation, monitoring and measurement of an ABMS based on ISO 37001:2016
- **Domain 6:** Continual improvement of an ABMS based on ISO 37001:2016
- **Domain 7:** Preparing for an ABMS certification audit

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts of an Anti-bribery Management System

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can understand, interpret and illustrate the main Anti-bribery Management concepts related to an Anti-bribery Management System (ABMS).

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Understand and explain the operations of the ISO organization and the development of Anti-bribery Management System standard.2. Ability to identify, analyze and evaluate the Anti-bribery Management compliance requirements for an organization.3. Ability to explain and illustrate the main concepts in Anti-bribery Management System.	<ol style="list-style-type: none">1. Knowledge of the application of the seven ISO management principles and their relationship to the Anti-bribery Management System.2. Knowledge of the main national laws related to anti-bribery.3. Knowledge of the main Anti-bribery Management System principles.4. Knowledge of the different source of Anti-bribery Management System requirement for an organization: laws, regulations, international and industry standards, contractors, market practices, internal policies.5. Knowledge of the main Anti-bribery Management concepts and terminology as described in ISO 37001:2016.6. Knowledge of the differences between preventive, detective and corrective controls and their characteristics.

Domain 2: Anti-bribery Management Best Practices based on ISO 37001:2016

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can understand, interpret and provide guidance on how to implement and manage Anti-bribery Management requirements based on the best practices of ISO 37001.

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to identify, understand, classify and explain the clauses with requirements from ISO 37001:2016.2. Ability to detail and illustrate the requirements and best practices by concrete examples.3. Ability to compare possible solutions to an Anti-bribery Management issue of an organization and identify/analyze the strength and weakness of each solution.4. Ability to select and demonstrate the best Anti-bribery Management solution in order to address Anti-bribery Management objectives set by the organization.5. Ability to create and justify an action plan to implement an Anti-bribery Management by listing the activities related.6. Ability to analyze, evaluate and validate action plans to implement a specific requirement.	<ol style="list-style-type: none">1. Knowledge of operational planning and control.2. Knowledge on identifying and implementing requirements from ISO 37001:2016.3. Knowledge on establishing and implementing anti-bribery policies, procedures and processes as required by ISO 37001:2016.4. Knowledge on implementing network of interrelated elements including responsibilities, authorities, relationships, functions, activities, processes, practices, procedures, and resources.5. Knowledge on requirements that come from clause 4 to 10 of the ISO 37001:2016.6. Knowledge on implementing and managing action plans to support ABMS implementation in an organization.

Domain 3: Planning an ABMS based on ISO 37001:2016

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can plan the implementation of an ABMS in preparation for an ISO 37001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to manage an ABMS implementation project following project management best practices.2. Ability to assemble, analyze and interpret the necessary information to plan the ABMS implementation.3. Ability to observe, analyze and interpret the external and internal environment of an organization.4. Ability to perform a gap analysis and clarify the Anti-bribery Management objectives of an organization.5. Ability to state and justify an ABMS scope adapted to the objectives of a specific organization.6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization.7. Ability to perform the different steps of the risk assessment and risk treatment phases.	<ol style="list-style-type: none">1. Knowledge of the main project management concepts, terminology, process and best practice as described in ISO 10006.2. Knowledge of the principal approaches and methodology frameworks to implement an ABMS.3. Knowledge of the main concepts and terminology related to organizations.4. Knowledge of an organization's external and internal environment.5. Knowledge of the main interested parties related to an organization and their characteristics.6. Knowledge of techniques to assemble information on an organization and to perform a gap analysis of a management system.7. Knowledge of the characteristics of an ABMS scope in terms of organizational and physical boundaries.8. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment.9. Knowledge of the main activities of the risk identification, estimation, evaluation related to the personnel included in the ABMS of an organization.

Domain 4: Implementing an ABMS based on ISO 37001:2016

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can implement the processes of an ABMS required for an ISO 37001 certification.

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to understand, analyze the needs and provide guidance on the attribution of roles and responsibilities in the context of the implementation and management of an ABMS.2. Ability to define the document and record management processes needed to support the implementation and operations of an ABMS.3. Ability to define and design processes and document them.4. Ability to define and write an ABMS policy and Anti-bribery Management policies & procedures.5. Ability to implement the required processes of an ABMS.6. Ability to define and implement appropriate Anti-bribery Management training, awareness and communication plans.7. Ability to define and implement proportionate procedures based Anti-bribery Management best practices and principles.8. Ability to transfer an ABMS project to operations and manage the change management process	<ol style="list-style-type: none">1. Knowledge of the roles and responsibilities of the key actors during the implementation of an ABMS and in its operation after the end of the implementation project.2. Knowledge of the main organizational structures applicable for an organization to manage Anti-bribery Management.3. Knowledge of the best practices on document and record management processes and the document management cycle.4. Knowledge of the characteristics and the differences between the different documents related to the ABMS policy, procedures, guideline, standard, baseline, worksheet, and so on.5. Knowledge of model-building controls and processes techniques and best practices.6. Knowledge of controls and processes deployment techniques and best practices.7. Knowledge of techniques and best practices to write Anti-bribery Management policies, procedures and others types of documents included in an ABMS.8. Knowledge of the characteristics of the best practices to implement Anti-bribery Management training, awareness and communication plans.9. Knowledge of the characteristics of implemented proportionate procedures of an Anti-bribery Management System based on best practices and principles.10. Knowledge of change management techniques best practices.

Domain 5: Performance evaluation, monitoring and measurement of an ABMS based on ISO 37001:2016

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can evaluate, monitor and measure the performance of an ABMS in the context of an ISO 37001 certification

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to monitor and evaluate the effectiveness of an ABMS in operation.2. Ability to verify the extent to which identified Anti-bribery Management requirements have been met.3. Ability to define and implement an internal audit program for ISO 37001:2016.4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an ABMS with policies and objectives of an organization.5. Ability to define and implement a management review process and counsel management on it.	<ol style="list-style-type: none">1. Knowledge of the techniques and best practices to monitor the effectiveness of an ABMS.2. Knowledge of the main concepts and components related to an Anti-bribery Management measurement programme: measures, attributes, indicators, dashboard, etc.3. Knowledge of the characteristics and the differences between an operational, tactical and strategic Anti-bribery Management indicators and dashboard.4. Knowledge of the techniques and methods to define and document an adequate and reliable indicator.5. Knowledge of the main concepts and components related to the implementation and operation of an ABMS internal audit program.6. Knowledge of the differences between the concepts of major nonconformity, minor nonconformity, anomaly and observation.7. Knowledge of the guidelines and best practices to write nonconformity report.8. Knowledge of the best practices on how to perform reviews.

Domain 6: Continual improvement of an ABMS based on ISO 37001:2016

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can provide guidance on the Continual improvement of an ABMS in the context of ISO 37001:2016

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to understand the principles and concepts related to continual improvement.2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of an ABMS.3. Ability to implement ABMS continual improvement processes in an organization.4. Ability to determine the appropriate business improvement tools to support continual improvement processes of a specific organization.5. Ability to identify, analyze the root-causes of nonconformities and proposed action plans to treat them.6. Ability to identify, analyze the root-cause of potential nonconformities and proposed action plans to treat them.	<ol style="list-style-type: none">1. Knowledge of the main concepts related to continual improvement.2. Knowledge of the characteristics and the difference between the concept of effectiveness and the efficiency.3. Knowledge of the concept and techniques to perform a benchmarking.4. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities.5. Knowledge of the characteristics and the difference between corrective actions and preventive actions.6. Knowledge of the main processes, tools and techniques used by professionals to develop and propose the best corrective and preventive action plans.

Domain 7: Preparing for an ABMS certification audit

Main objective: To ensure that the ISO 37001 Lead Implementer candidate can prepare and assist an organization for the certification of an ABMS against the ISO 37001 standard

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to understand the main steps, processes, and activities related to an ISO 37001 certification audit2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 37001 audit.3. Ability to counsel an organization to identify and select a certification body that meets their needs.4. Ability to review the readiness of an organization for an ISO 37001 certification audit.5. Ability to coach and prepare the personnel of an organization for an ISO 37001 certification audit.6. Ability to argue and challenge the audit findings and conclusions with external auditors.	<ol style="list-style-type: none">1. Knowledge of evidence based approach in an audit.2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal.3. Knowledge of the differences of stage 1 audit and stage 2 audit.4. Knowledge of stage 1 audit requirements, steps and activities.5. Knowledge of the documentation review criteria.6. Knowledge of stage 2 audit requirements, steps and activities.7. Knowledge of follow-up audit requirements, steps and activities.8. Knowledge of surveillance audits and recertification audit requirements, steps and activities.9. Knowledge of the requirements, guidelines, and best practices to develop action plans following an ISO 37001 certification audit

Based on these seven domains and their relevance, 12 questions are included in the exam, as summarized in the following table:

		Level of Understanding (Cognitive/Taxonomy) Required						
		Points per Question	Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation	Number of Questions per competency domain	% of test devoted to each competency domain	Number of Points per competency domain	% of Points per competency domain
Competency/Domains	Fundamental principles and concepts in Anti-bribery Management	5	X		2	16.67	10	13.33
	5	X						
	Anti-bribery Management Best Practices on ISO 37001	5	X		3	25.00	25	33.33
		10	X					
		10	X					
	Planning an ABMS based on ISO 37001	5		X	1	8.33	5	6.67
	Implementing an ABMS based on ISO 37001	5		X	3	25.00	15	20.00
		5		X				
		5		X				
	Performance evaluation, monitoring and measurement of an ABMS based on ISO 37001	10		X	1	8.33	10	13.33
	Continual improvement of an ABMS based on ISO 37001		X		1	8.33	5	6.67
	Preparing for an ABMS certification audit	5		X	1	8.33	5	6.67
Total points		75						
Number of Questions per level of understanding		5		6				
% of Test Devoted to each level of understanding (cognitive/taxonomy)		50		50				

The passing score is established at 70%. After successfully passing the exam, candidates will be able to apply for the credentials of Certified ISO 37001 Lead Implementer, depending on their level of experience.

TAKE A CERTIFICATION EXAM

Candidates will be required to arrive at least thirty (30) minutes before the beginning of the certification exam. Candidates arriving late will not be given additional time to compensate for the late arrival, and may be denied entry to the exam room (if they arrive more than 5 minutes after the beginning of the exam scheduled time).

All candidates will need to present a valid identity card with a picture such as; a driver's license or a government ID to the invigilator.

The exam duration is three (3) hours.

The passing score is established at **70%**.

The questions are essay type questions. This type of format was chosen because the intent is to determine whether an examinee can write a clear coherent response/argument and to assess problem solving techniques. Because of this particularity, the exam is set to be "open book" and does not measure the recall of data or information. The examination evaluates, instead, comprehension, application, analysis, synthesis and evaluation, which mean that even if the response is in the course material, candidates will have to justify and give explanations, to indicate they really understood the concepts. At the end of this document, you will find sample exam questions and their possible responses.

As the exams are "open book"; the candidates are authorized to use the following reference materials:

- A copy of the ISO 37001:2016 standard,
- Course notes from the Participant Handout,
- Any personal notes made by the student during the course and
- A hard copy dictionary.

The use of electronic devices, such as laptops, cell phones, etc., is not allowed.

All attempt to copy, collude or otherwise cheat during the exam will automatically lead to the exam's failure.

PECB exams are available in English. For availability of the exam in a language other than English, please contact examination@pecb.com

RECEIVE YOUR EXAM RESULTS

Results will be communicated by email in a period of 6 to 8 weeks, after taking the exam. The results will not include the exact grade of the candidate, only pass or fail.

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

In the case of a failure, the results will be accompanied with the list of domains in which the candidate had a low grade, to provide guidance for exams' retake preparation.

Candidates who disagree with the exam results may file a complaint by writing to examination@pecb.com. For more information, please refer to www.pecb.com

EXAM RETAKE POLICY

There is no limitation on how many times a candidate can retake the same exam. However, there are some limitations in terms of allowed time-frame in between exams.

When candidates fail the examination, they are only allowed to retake the examination once within 12 months after the first attempt. If second examination is unsuccessful, candidates will be allowed to retake the exam only after 1 year (12 months). Retake fee applies.

Only candidates, who have completed a full PECB training but fail the written exam, are eligible to retake the exam for free, under one condition:

"A candidate can only retake the exam once and this retake must occur within 12 months from the initial exam's date."

When candidates fail the same examination for the second time, their file is automatically closed for 1 year.

CLOSING FILES

Closing a file is equivalent to rejecting a candidate's application. As a result, when candidates request that their file be reopened, PECB will no longer be bound by the conditions, standards, policies, candidate handbook or exam preparation guide that were in effect before their file was closed.

Candidates who want to request that their file be reopened must do so in writing, and pay the required fees.

EXAMINATION SECURITY

A significant component of a successful and respected professional certification credential is maintaining the security and confidentiality of the examination. PECB relies upon the ethical behaviour of certificate holders and applicants to maintain the security and confidentiality of PECB examinations. When someone who holds PECB credentials reveals information about PECB examination content, they violate the PECB Code of Ethics. PECB will take action

against individuals who violate PECB Policies and the Code of Ethics. Actions taken may include permanently barring individuals from pursuing PECB credentials and revoking certifications from those who have been awarded the credential. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

SAMPLE EXAM QUESTIONS AND POSSIBLE ANSWERS

1. Interpretation of ISO clauses

For each of the following clauses of the ISO 37001 standard, please 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 7.5.3 Control of documented information

Possible answers:

- *Elaboration and communication of a documented procedure defining the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.*
- *Maintenance of an updated list of records*

2. Development of metrics

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

Clause 9.3 Internal audit

Possible answers:

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

3. Corrective action plan

A non-conformity has been raised because while the auditor interviewed a sample of employees determined that a high percentage of personnel was not aware of the procedure that enables personnel to anonymously report attempted, suspected and actual bribery inside the organization

Possible answers

Root cause:

Lack of training and awareness of personnel in regard to anti-bribery policies and procedures implemented in the organization

Corrective action:

Develop an anti-bribery manual that includes detailed procedures, their benefit and consequences if not followed.

Train personnel and promote an anti-bribery culture that prohibit retaliation in the organization