



When Recognition Matters



EXAM PREPARATION GUIDE

PECB Certified ISO 37001 Lead Auditor

The objective of the “Certified ISO 37001 Lead Auditor” examination is to ensure that the candidate possesses the needed expertise to audit an Anti-bribery Management System (ABMS) based on ISO 37001:2016 and to manage a team of auditors by applying widely recognized audit principles, procedures and techniques. The aim of the exam is to evaluate that the candidate possesses necessary knowledge and skills to proficiently plan and perform internal and external audits in compliance with certification process of the ISO 19011 and ISO 17021 standards.

The target population for this examination is:

- Internal auditors
- Auditors wanting to perform and lead Anti-bribery Management System (ABMS) certification audits
- Project managers or consultants wanting to master the Anti-bribery Management System audit process
- Persons responsible for the anti-bribery or conformity in an organization
- Members of an anti-bribery team
- Expert advisors in Anti-bribery Management Systems
- Technical experts wanting to prepare for an anti-bribery audit function

The exam covers the following domains:

- Domain 1: Fundamental Principles and Concepts in Anti-bribery Management
- Domain 2: Anti-bribery Management System (ABMS)
- Domain 3: Fundamental Audit Concepts and Principles
- Domain 4: Preparation of an ISO 37001 Audit
- Domain 5: Conduct of an ISO 37001 Audit
- Domain 6: Conclusion and Follow up of an ISO 37001 Audit
- Domain 7: Management of an ISO 37001 Audit Program

The content of the exam is divided as follows:

Domain 1: Fundamental principles and concepts in Anti-bribery Management

Main objective: To ensure that the ISO 37001 Lead Auditor 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 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. 4. Ability to understand the relationship between different anti-bribery laws. 	<ol style="list-style-type: none"> 1. Knowledge of the application of the seven ISO management principles to Anti-bribery Management. 2. Knowledge of the main national laws related to Anti-bribery Management 3. Knowledge of the different source of Anti-bribery Management requirement for an organization: laws, regulations, international and industry standards, contracts, market practices, internal policies 4. Knowledge of the main Anti-bribery Management concepts and terminology as described in ISO 37001.

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

Main objective: To ensure that the ISO 37001 Lead Auditor candidate can understand, interpret and illustrate the main concepts and components of an Anti-bribery Management System based on ISO 37001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Understand and explain the components of an Anti-bribery Management System based on ISO 37001 and its principal processes. 2. Ability to interpret and analyze ISO 37001 requirements. 3. Understand, explain and illustrate the main steps to establish, implement, operate, monitor, review, maintain and improve an organization's ABMS. 	<ol style="list-style-type: none"> 1. Knowledge of the concepts, principles and terminology related to management systems and the "Plan-Do-Check-Act" (PCDA) model. 2. Knowledge of the principal characteristics of an integrated management system 3. Knowledge of the ISO 37001 requirements presented in the clauses 4 to 10. 4. Knowledge of the main advantages of certification for an organization 5. Knowledge of the main steps to establish the ABMS policies, objectives, processes and procedures relevant to managing risk and improving Anti-bribery Management to deliver results in accordance with an organization's overall policies and objectives (Awareness level). 6. Knowledge of the concepts of continual improvement and its application to an ABMS.

Domain 3: Fundamental Audit Concepts and Principles

Main objective: To ensure that the ISO 37001 Lead Auditor candidate can understand, interpret and apply the main concepts and principles related to an ABMS audit in the context of ISO 37001.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Understand, explain and illustrate the application of the audit principles in the context of an ISO 37001 audit. 2. Ability to identify and judge situations that would discredit the professionalism of the auditor and the PECB code of ethics. 3. Ability to identify and evaluate ethical problems taking into account the obligations related to sponsors, auditee and law enforcement or regulatory authorities. 4. Ability to explain, illustrate and apply the audit evidence approach in the context of an ISO 37001 audit. 5. Ability to explain and compare the types and characteristics of evidence. 6. Ability to determine and justify what type of evidence and how much evidence will be required in the context of a specific ABMS audit mission. 	<ol style="list-style-type: none"> 1. Knowledge of the main audit concepts and terminology as described in ISO 19011. 2. Knowledge of the differences between first party, second party and third party audit. 3. Knowledge of the following audit principles: integrity, fair presentation, due professional care, professional judgement, professional skepticism, confidentiality and independence. 4. Knowledge of professional responsibility of an auditor and the PECB code of ethics. 5. Knowledge of evidence based approach in an audit. 6. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal. 7. Knowledge of quality of audit evidence (competent, appropriate, reliable and sufficient) and the factors that will influence them. 8. Knowledge of the risk based approach in an audit and the different types of risk related to audit activities 9. Knowledge of the concepts of materiality and its application in an audit. 10. Knowledge of the concept of reasonable assurance and its applicable in an audit.

Domain 4: Preparation of an ISO 37001 Audit

Main objective: To ensure that the ISO 37001 Lead Auditor candidate can prepare appropriately an ABMS audit in the context of ISO 37001.

Competencies	Knowledge statements
1. Understand and explain the steps and activities to do to prepare an ABMS audit taking in consideration the specific context and conditions of the mission.	1. Knowledge of the main responsibilities of the audit team leader and audit team members.
2. Understand and explain the roles and responsibilities of the audit team leader, audit team members and technical experts.	2. Knowledge of the roles and responsibilities of technical experts used for an audit.
3. Ability to determine, evaluate and confirm the audit objectives, the audit criteria and the audit scope for a specific ISO 37001 audit mission.	3. Knowledge of the definition of audit objectives, audit scope and audit criteria.
4. Ability to do a feasibility study of an audit in the context of a specific ISO 37001 audit mission.	4. Knowledge of the difference between the ABMS scope and the audit scope.
5. Ability to explain, illustrate and define the characteristics of the audit terms of engagement and apply the best practices to establish a first contract with an auditee in the context of a specific ISO 37001 audit mission.	5. Knowledge of the elements to review during the feasibility study of an audit.
6. Ability to develop audit working papers and to elaborate appropriate audit test plans in the context of a specific ISO 37001 audit mission.	6. Knowledge of the cultural aspects to consider in an audit.
	7. Knowledge of the characteristics of audit terms of engagement and the best practices to establish a first contact with an auditee.
	8. Knowledge of the preparation of an audit plan.
	9. Knowledge of the preparation and development of audit working paper.
	10. Knowledge of advantages and disadvantages of using audit checklists.
	11. Knowledge of the best practices to creation audit test plans.

Domain 5: Conduct of an ISO 37001 Audit

Main objective: To ensure that the ISO 37001 Lead Auditor candidate can conduct efficiently an ABMS audit in the context of ISO 37001

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to organize and conduct the opening meeting in the context of a specific ISO 37001 audit mission. 2. Ability to conduct a stage 1 audit in the context of a specific ISO 37001 audit mission and taking into account the documentation review conditions and criteria 3. Ability to conduct a stage 2 audit in the context of a specific ISO 37001 audit mission by applying the best practices of communication to collect the appropriate evidence and taking into account the roles and responsibilities of all people involved. 4. Ability to explain, illustrate and apply statistical techniques and main audit sampling methods. 5. Ability to gather appropriate evidences objectively from the available information in an audit and to evaluate the objectively. 	<ol style="list-style-type: none"> 1. Knowledge of the objectives and the content of the opening meeting of an audit. 2. Knowledge of the difference of the stage 1 audit and stage 2 audit. 3. Knowledge of stage 1 audit requirements, steps and activities. 4. Knowledge of the documentation review criteria. 5. Knowledge of the documentation requirements stated in ISO 37001. 6. Knowledge of stage 2 audit requirements, steps and activities. 7. Knowledge of best practices of communication during an audit. 8. Knowledge of the roles and responsibilities of guides and observers during an audit. 9. Knowledge of the conflict resolution techniques. 10. Knowledge of evidence collection procedures: observation, documentation review, interviews, analysis and technical verification. 11. Knowledge of evidence analysis procedures: corroboration and evaluation. 12. Knowledge of the main concepts, principles and statistical techniques used in an audit. 13. Knowledge of the main audit sampling methods and their characteristics.

Domain 6: Conclusion and Follow up of an ISO 37001 Audit

Main objective: To ensure that the ISO 37001 Lead Auditor candidate can conclude an ABMS audit and conduct follow-up activities in the context of ISO 37001.

Competencies	Knowledge statements
1. Ability to explain and apply the evaluation process of evidences to draft audit findings and prepare audit conclusions.	1. Knowledge of the evaluation process of evidence to draft audit findings and prepare audit conclusions.
2. Understand, explain and illustrate the different levels of conformity and the concept of benefits of doubt.	2. Knowledge of the differences and the characteristics between the concepts of conformity, minor nonconformity, major nonconformity, anomaly and observation.
3. Ability to report appropriate audit observations in order to help an organization to improve an ABMS in respect of audit rules and principles.	3. Knowledge of the guidelines and best practices to write nonconformity report.
4. Ability to complete audit working documents and do a quality review of an ISO 37001 audit.	4. Knowledge of the guidelines and best practices to draft and report audit observation.
5. Ability to draft audit conclusions and present these to the management of the audited organization.	5. Knowledge of the principle of benefits of doubt and his application in the context of an audit.
6. Ability to organize and conduct an audit closing meeting.	6. Knowledge of the guidelines and best practices to complete audit working documents and do a quality review of an audit.
7. Ability to write an ISO 37001 audit report and justify a certification recommendation.	7. Knowledge of the guidelines and best practices to present audit findings and conclusions to management of an audited organization.
8. Ability to conduct the activities following an initial audit including the evaluation of action plans, follow up audits, surveillance audits and recertification audits.	8. Knowledge of the possible recommendations that an auditor can issue in the context of a certification audit and the certification decision process.
	9. Knowledge of the guidelines and best practices to evaluate action plans.
	10. Knowledge of the follow-up audit, surveillance audits and recertification audit requirements, steps and activities.
	11. Knowledge of the conditions for modification, extension, suspension or withdrawal of a certification for an organization.

Domain 7: Management of an ISO 37001 Audit program

Main objective: To ensure that the ISO 37001 Lead Auditor understands how to establish and manage an ABMS audit program.

Competencies	Knowledge statements
1. Understand and explain the establishment of an audit program and the application of the PCDA model.	1. Knowledge of the application of the PCDA model in the management of an audit program.
2. Understand and explain the implementation of an ISO 37001 audit program (first party, second party and third party).	2. Knowledge of requirements, guidelines and best practices regarding audit resources, procedures and policies.
3. Understand and explain the responsibilities to protect the integrity, availability and confidentiality of audit records.	3. Knowledge of the types of tools used by professional auditors.
4. Understand the requirements related to the components of the management system of an audit program as quality management, record management, and complaint management.	4. Knowledge of requirements, guidelines and best practices regarding the management of audit records.
5. Understand the evaluation of the efficiency of the audit program by monitoring the performance of each auditor, each team and the entire certification body.	5. Knowledge of the application of the concept of continual improvement to the management of an audit program.
6. Understand and explain the way combined audits are handled in an audit program,	6. Knowledge of the particularities to implement and manage a first, second or third party audit program.
7. Ability to demonstrate the application of the personal attributes and behaviors associated to professional auditor.	7. Knowledge of the management of combined audit activities.
	8. Knowledge of the concept of competency and its application to auditors.
	9. Knowledge of the personal attributes and behavior of a professional auditor.

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		Number of Questions per competency domain	% of test devoted to each competency domain	Number of Points per competency domain	% of Points per competency domain	
		Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation					
Competency/Domains	Fundamental principles and concepts in Anti-bribery Management	5	X	1	8.33	5	6.67	
	ABMS	5	X	2	16.67	10	13.33	
		5	X					
	Fundamental audit concepts and principles	10	X	2	16.67	15	20.00	
		5	X					
	Preparation of an ISO 37001 audit	5	X	2	16.67	10	13.33	
		5	X					
	Conduct of an ISO 37001 audit	10		X	3	25.00	20	26.67
		5		X				
		5		X				
	Conclusion and follow-up of an ISO 37001 audit	10		X	1	8.33	10	13.33
	Management of an ISO 37001 audit program	5		X	1	8.33	5	6.67
Total points		75						
Number of Questions per level of understanding			7	5				
% of Test Devoted to each level of understanding (cognitive/taxonomy)			58.33	41.67				

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 Auditor, 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 Auditor, 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. Evidence in an audit

For each of the following clauses of the ISO 37001 standard, please provide at least two different evidences that would be acceptable to ensure conformity to the clause.

Clause 7.5.3 Control of documented information

Possible answers:

- *Interview with the person in charge of control of documented information*
- *Review of control of documents and records procedure*

2. Evaluation of corrective actions

You have received a plan for corrective actions. Evaluate the adequacy of the proposed corrective actions. If you agree with the corrective actions, explain why. If you disagree, explain why and propose what you think would be adequate corrective actions.

1. A non-conformity was observed because the procurement team was not aware that procedures require them to require top-management approval in advance of gifts and hospitality above a defined value or frequency

Reply by the auditee:

Intrinsic cause: *Approval was given by procurement manager not by top-management*

Corrective action: *inform (Timeframe: immediately) and train (Timeframe: 6 months) the Procurement team concerning this procedure and require that each member of the team including the manager to follow it.*

Answer: *I agree. This solves the problem that was negligence of procedures. As an auditor, a sampling will be performed during the surveillance audit to find out if the procedure is being followed.*

3. Writing of a test plan

Write a test plan to validate the following clause identifying the different applicable audit procedures (observation, documentation review, interview, technical verification and analysis).

<p>Review by anti-bribery compliance function (Clause 9.2) – The anti-bribery compliance function shall assess on a continual basis whether the anti-bribery management system is adequate to manage effectively the bribery risks faced by the organization and being effectively implemented</p>	
<p>Observation</p>	<p><i>Observe how implementation of an anti-bribery management system has helped the organization combat bribery, observe how controls implemented by the organization are managed and how efficient are they in preventing, detecting and addressing bribery, observe whether anti-bribery policy of the organization is consistent with organizations.</i></p>
<p>Document</p>	<p><i>Policy and procedures stating anti-bribery compliance function responsibility is to perform review and monitor anti-bribery management system efficiency and compliance with ISO 37001.</i></p>
<p>Interview</p>	<p><i>Compliance representative to obtain information whether the compliance function has performed reviews monitored efficiency and compliance of the ABMS.</i></p>
<p>Technical verification</p>	<p><i>Validate the configuration of the software that enables accountant to make transactions and validate their computer security system.</i></p>
<p>Analysis</p>	<p><i>Select some implemented controls in the organization and determine whether these controls are adequate for combating the risk of bribery that the organization faces.</i></p>