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BECOME PECB CERTIFIED ISO 27001 LEAD IMPLEMENTER

CANDIDATE'S HANDBOOK

ISO 27001 LEAD IMPLEMENTER

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About PECB

Founded in 2005, PECB is a certification body for persons for various standards, including ISO 20000, ISO 9001, ISO 14001, OHSAS 18001, ISO 22000, ISO 27005, ISO 31000, ISO 26000, ISO 28000, ISO 27001, ISO 27002, ISO 22301, ISO 50001, ISO 20121, ISO 21500, ISO 13485, ISO 17025, ISO 39001, ISO 13053, ISO 29001, ISO 29100, ISO 27034, ISO 38500, SCRUM, EBIOS, CLPI and MEHARI. Our mission is to provide our clients comprehensive examination and certification services to individuals. Certifications represent the intersection of protection of the public, fairness to candidates, and contribute to the improvement of the profession. Although these may appear to be competing interests, a well-designed certification program will be most effective in meeting these interests when its resources are deployed to enhance validity and reliability. PECB develops, maintains and continuously improves high quality recognized certification programs.

The purpose of PECB, as stated in its Bylaws, is to develop and promote professional standards for certification and to administer credible certification programs for individuals who practice in disciplines involving the audit and the implementation of a compliance management system. This principal purpose includes:

1. Establishing the minimum requirements necessary to qualify certified professional
2. Reviewing and verifying the qualifications of applicants for eligibility to sit for the certification examinations
3. Developing and maintaining reliable, valid, and current certification examinations
4. Granting certificates to qualified candidates, maintaining certificant records, and publishing a directory of the holders of valid certificates
5. Establishing requirements for the periodic renewal of certification and determining compliance with those requirements
6. Ascertaining that certificants 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 employers, public officials, practitioners in related fields, and the public

Accreditation



PECB is accredited by ANSI (American National Standards Institute) with ANSI ISO/IEC 17024:2003 that is an International Standard which sets out criteria for an organization's certification program for individual persons.

Accreditation scope:

<https://www.ansica.org/wwwversion2/outside/ALLdirectoryDetails.asp?menuID=2&prgID=201&orgID=1728&status=4>



Introduction

As both consumers and organizations are facing an increasing number of threats and attacks against their personal and financial data, information security has become more and more important for organizations of all size. Also, both consumers and legislators are expecting additional protection of this information from the organizations they deal with. The need for information security is greater than ever and is expected to constantly increase.

To answer these issues, the International Organization for Standardization (ISO) jointly with the International Electro technical Commission (IEC) has developed the ISO/IEC 27001:2013 standard for information security. ISO/IEC 27001:2013 provides a model for establishing, implementing, operating, monitoring, reviewing, maintaining and improving an Information Security Management System (ISMS).

Since 2005, when the first ISO 27001 certification for an organization was granted, there is a lack of available qualified and certified ISMS professionals. Today's employers are not just seeking information security 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 security practitioners prepared to tackle today and tomorrow's security challenges.

PECB is the only North American organization that certifies ISMS professionals. 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 and have passed a standardized exam in the certification area.

This document specifies the PECB ISO 27001 certification schemes in compliance with the ISO/IEC 17024:2003 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 international office at certification@pecb.org

Eric Lachapelle
Chief Executive Officer

Faton Aliu
President and Chief Operating Officer



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 acting in accordance with the professional standards and applicable techniques while performing professional services.
3. Maintain their competency in their respective fields and strive to constantly improve their professional skills.
4. Offer only professional services for which they are qualified to perform, and adequately inform clients and consumers about the nature of proposed services, including any relevant concerns or risks.
5. Inform each employer or client of any business interests or affiliations which might influence their judgment or impair their fairness.
6. Treat in a confidential and private manner information acquired during professional and business dealings of any present or former employer or client without its proper consent.
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 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 for persons and will fully cooperate on the inquiry following a claimed infringement of this Code of Ethics.

Value of PECB certification

CREDIBILITY ON THE MARKET AND RECOGNITION BY PEERS IS THE TRUE VALUE OF PECB CERTIFICATION

Certification is a vital component of the information security field as it provides evidence that certified professionals hold standardized competencies based on best practices. Certification can also serve as documented evidence of a professional's qualifications, competencies and experience.

The benefits of the Certification Program include the following:

- It serves to demonstrate that the certified professional holds defined competencies based on best practices.
- It allows employing organizations to make an informed selection of employees or services based on the competencies that are represented by the certification designation.
- It provides incentives to the professional to constantly improve his/her skills and knowledge.
- It serves as a tool for employers to ensure that training has been effective.

PECB certification process steps

1. Decide which certification is right for you

Each PECB certification has specific education and experience requirements. To determine which certification product is right for you, verify all eligibility requirements for the different ISO 27001 certifications and your professional needs.

2. Prepare for the exam

All certification candidates are responsible for their own study and preparation for the examination. No specific set of courses or curriculum of study is required as part of the certification process. Likewise, the completion of a course or program of study will significantly enhance your chance of passing a PECB certification examination.

The exam content covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of information security (IS)
- **Domain 2:** Information Security Control Best Practice based on ISO 27002
- **Domain 3:** Planning an ISMS based on ISO 27001
- **Domain 4:** Implementing an ISMS based on ISO 27001
- **Domain 5:** Performance evaluation, monitoring and measurement of an ISMS based on ISO 27001
- **Domain 6:** Continual improvement of an ISMS based on ISO 27001
- **Domain 7:** Preparation for an ISMS certification audit

3. Apply and schedule the exam

Candidates must download the application form which is available at www.pecb.org/erf.pdf. Applicants can pay the application fees online and send all required supporting documents to PECB via email at examination@pecb.org. Applicants will also have the option of mailing the payment (checks) but however, this will result in delays of the application process.



Applicants will then be able to select a date and location for their certification exam. Dates and location can be found at www.PECB.org. You must register at least fourteen (14) days before the exam date.

4. Take the exam

Candidates will be required to arrive at least 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 examination room. All candidates will need to present a valid identity card such as a driver's license to the invigilator and the exam confirmation letter. The duration of the exam varies according to the type of examination taken (see description of the different exams for more details). PECB exams are available in English. For availability of the exam in a language other than English, please contact examination@pecb.org

5. Receive your exam results

It takes 4 to 8 weeks for participants to receive their results. All results are sent via email. The examination results will not include the exact grade that you had, only a mention of pass or fail. In the case of a failure, the results will be accompanied with the list of domains in which you had a low grade to provide guidance to prepare yourself to retake the exam.

6. Apply for certification

All participants who successfully pass their certification exam (or an equivalent accepted by PECB) are entitled to apply for the PECB credentials they were examined for. Specific educational and professional requirements may be needed for you to be PECB certified. Candidates will need to fill out the online certification application form <https://pecb.org/en/component/user/register> and fill all the forms online. (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. At the end, before submission a candidate can choose to pay online or be billed. In case the candidate needs additional information, he/she should contact accounting@pecb.org and/or certification@pecb.org

Once PECB will have validated that you fulfill all certification requirements, you will be informed by email of our decision and you will receive your certificate by email.

7. Maintain your certification

The PECB certifications are valid for three years. To maintain his/her certification, the applicant must demonstrate every year that he/she is still performing tasks that are related to the certification. Every year, PECB certified professionals will need to provide PECB with the number of hours of auditing and/or implementation related tasks they have performed with the contact details of individuals who can validate these tasks, as well as paying their yearly certification maintenance fees. PECB will randomly select some referrals to contact to validate this experience and education.

ISO 27001 Lead Implementer

The ISO/IEC 27001 Implementer certification is a professional certification for professionals needing to implement an Information Security Management System (ISMS) and manage an implementation project. The principal competencies and knowledge skills needed by the market are the ability to support an organization in implementing and managing an Information Security Management System as specified in ISO 27001:2013: risk management, risk management plan, implementation, surveillance, re-examination and operation of an ISMS, continuous improvement of information security, management's commitment, follow-up and review.

Various professions may apply for this certification:

- Manager or consultant wanting to implement an Information Security Management System (ISMS)
- Project manager or consultant wanting to master the Information Security Management System implementation process
- Person responsible for the Information security or conformity in an organization
- Member of the information security team
- Expert advisor in information technology
- Technical expert wanting to prepare for an Information security audit function

The requirements for “Implementer” certifications are:

Credential	Education	Exam	Professional experience	ISMS Audit experience	ISMS project experience	Other requirements
ISO 27001 Lead Implementer	At least secondary school	ISO 27001 Lead Implementer Exam	Five years Two years of information security work experience	None	Project activities totalling 300 hours	Signing the PECB code of ethics

For certification purposes, the following implementation types constitute valid implementation experience:

1. Internal implementation
2. External/consulting implementation
3. Partial implementation

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

1. Drafting an ISMS implementation business case
2. Managing an ISMS implementation project
3. Implementing information security controls
4. Managing information security controls
5. Implementing metrics
6. Implementing corrective or preventive action
7. Performing a management review
8. Performing a risk assessment
9. Managing incidents
10. Managing an information security team

General information

Applying for certification

Candidates who apply for PECB certification will need to be prepared to provide the following:

- At least two references (candidates can input up to a maximum of five references), including their names and contact details.
- Their most recent CV.
- Their ISMS audit/project log.

PECB will validate professional experience with your references to ensure the accuracy of all applications.

About application

Language

PECB provides support in English and French.

Application fees

Application fees vary according to your country of residence. Please use the following list to determine your application fees:

ISO 27001 LI	Country
500 €	Andorra, Austria, Belgium, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Liechtenstein, Luxemburg, Malta, Monaco, Netherlands, Norway, Portugal, San Marino, Spain, Sweden, United Kingdom
500 USD	Canada, Japan, United States of America
500 USD	All other countries

Application fees include both examination fees and certification fees (if the candidate successfully passes his/her examination).

Examination Cancellations

To cancel an examination and receive a partial refund, your request must be in writing and received in the PECB office no later than 96 hours prior to the scheduled examination appointment time. PECB will refund your examination fee, less a \$100 USD processing fee, per examination.

About examination

Admission rules to Examination

Each candidate must present valid photo identification to be admitted to the examination site and the exam confirmation letter. Candidates shall comply with all security rules established for testing. Candidate will be allowed no more than the specified time to complete his/her examination.

For more specific information about this exam, please contact examination@pecb.org to request a copy of the corresponding exam preparation guide or download it from PECB's website.

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 behavior of certificate holders and applicants to maintain the security and confidentiality of PECB examinations. When someone who holds PECB credentials reveal 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.

Testing Tips

On the day of the exam:

1. Plan to arrive at the exam site at least 30 minutes prior to your appointment.
2. Get a good night's rest the night before.
3. Eat a well-balanced meal prior to reporting to the exam center. Avoid excessive stimulants such as caffeine.
4. Read and follow the instructions carefully. Ask the Proctor for clarification if you are not sure about the instructions.
5. Periodically check your progress. This will allow you to make any adjustments in time. Pay attention to the time you have left to finish the exam.
6. Only the questions you answer correctly are scored. There are no penalties for answering a question incorrectly, so answer as many questions as you can. If you are unsure of a response, eliminate as many options as possible, and choose an option from those that remain.

Examination Scores and Scoring Method

PECB grades all examinations fairly. There is no predetermined percentage of participants who fail and pass, so candidates do not compete against each other. Test scores are based on the number of items answered correctly. A portion of the test questions are not scored and are used for the purpose of future examination development. Candidates will not know whether an item is scored or not.

Examination Results

Scores are strictly confidential and they cannot be obtained over the phone or send to a third-party. If you have questions concerning your test results, you should direct them in writing to the PECB Certification Program. The examination results will not include the exact grade that you had, only a mention of pass or fail. In the case of a failure, the results will be accompanied with the list of domains in which you had a mark lower than the passing grade to provide guidance to prepare yourself to retake the exam.

**Retest**

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

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.

About certification

Professional references

Professional references must be from individuals who have professionally worked with you and can validate your information security expertise, current and previous work history, as well as your job performance. You cannot use anyone as a reference who falls under your supervision or is a relative. At least three professional references are required (candidates can input up to a maximum of five references).

Professional experience

Complete information is required: including job title, begin dates, end dates, responsibilities and more. Summarize each assignment, providing sufficient detail to describe the nature of the responsibilities that you had. This information can be detailed in your resume.

ISMS Audit experience

The candidate's audit log will be checked to ensure that the applicant has the minimal required number of audit-hours. The following audit types constitute valid audit experience: pre-assessment/pre-audit, gap analysis, internal audits, second party audits, third/external audits or opinion audit. This information can be detailed in your resume.

ISMS project experience

The candidate's implementation log will be checked to ensure that the applicant has the minimal required number of implementation-hours. The following implementation types constitute valid implementation experience: internal implementation, external/consulting implementation or partial implementation of an information security management system. This information can be detailed in your resume.

Auditing of Certification Applications

PECB randomly audits applications to validate the candidate's eligibility to certification. A candidate whose application is being audited will be notified in writing office and given a reasonable timeframe to provide any additional documentation if required. If a candidate does not respond by the deadline, or does not provide the required documentation within the given time frame, he or she may be declared ineligible.

Denial and Revocation of Certification

Certification will be denied or revoked for any of the following reasons:

- Falsification of application
- Violation of testing procedures
- Misrepresentation
- Failure to pass the examination

Denials or revocations of certification may be appealed to the Certification Board in writing.

Annual Renewal Certification Fee

To maintain your credentials active, there is an annual renewal fee for each calendar year. Registrants who pay their annual renewal fee will appear online in the PECB Directory of Certified Professional.

Recertification

The PECB designations are valid for three years. To maintain your certification, you must have accumulated the necessary 120 continuing education units (CEUs) by the end of that three-year period and pay the recertification fee. CPE hours need to be inputted in your online PECB profile. PECB certified professionals who fail to provide the required CPE hours will have their PECB credentials revoked and will no longer be allowed to present themselves as certified PECB professionals.

About PECB general policies

PECB Code of Ethics

The PECB Code of Ethics can be found at www.pecb.org. Adherence of professionals to PECB code of ethics is a voluntary engagement. However, if a member does not follow this code by engaging in gross misconduct, PECB membership may be terminated and certifications revoked. Not only is it important for PECB certified professionals to adhere to the principles expressed in this Code, each member should encourage and support adherence by other members.

Other exams and certifications

PECB has reviewed and validated the below organizations and certifications as equivalent in competency domains, difficulty and content coverage.

Planned equivalencies include only the following:

1. The applicant has successfully been certified to a certification that is considered to be equivalent (Ex: Certified Information Systems Auditor (CISA) for ISO 27001 Lead Auditor; Certified Information Systems Security Professional (CISSP) for ISO 27001 Lead Implementer). Whenever someone applied for such an equivalencies, the certification will have to be evaluated by PECB staff to determine if it is a valid equivalency or not. If it is deemed to be, the name of this certification will be added to PECB's documentation and website as a valid equivalent.
2. The applicant has successfully passed an examination that is considered to be equivalent. These may be ISO 27001 examinations provided by organizations certified by recognized accredited certification bodies (such as IRCA and RABQSA). An example of these would be certified ISO 27001 Lead Auditor courses provided by BSI, SGS, Bureau Veritas, TUV, SAI Global or any other accredited provider of IRCA and RABQSA exams for the following exams:
RABQSA: ISO 27001 ISMS Lead Auditor and ISO 27001 ISMS Lead Implementer.
IRCA: ISO 27001 ISMS Lead auditor

Non-discrimination and Special Accommodations

All candidate applications shall be evaluated objectively without regard to age, sex, race, religion, national origin, or marital status. PECB will allow for reasonable accommodations⁽¹⁾ as required by the Americans with Disabilities Act (ADA)⁽²⁾ or an equivalent National Law. A candidate who needs special accommodations must make the request in writing and allow an extra two weeks for processing of the application.

Complaints and appeals

Requests for an appeal must be made no later than 30 days after the applicant is denied certification. Within 30 days after the receipt of the written appeal, PECB must provide the applicant with a written response. You can read more about complaint and appeal procedure by visiting the following link: <https://www.pecb.org/en/certifications/rules-and-policies>.

(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
(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 postsecondary 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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