



*When Recognition Matters*



# Candidate's Handbook

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## ISO 19600 Lead Compliance Manager



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## About PECB

PECB is a certification body for persons, management systems, and products on a wide range of international standards. As a global provider of training, examination, audit, and certification services, PECB offers its expertise on multiple fields, including but not limited to Information Security, IT, Business Continuity, Service Management, Quality Management Systems, Risk & Management, Health, Safety, and Environment.

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

### **Our principal objectives and activities are to:**

1. Establish the minimum requirements necessary to certify professionals, organizations and products.
2. Review and verify the qualifications of applicants for eligibility to be considered for the certification evaluation.
3. Develop and maintain reliable, valid, and current certification examinations.
4. Grant certificates to qualified candidates, organizations and products, maintain records, and publish a directory of the holders of valid certificates.
5. Establish requirements for the periodic renewal of certification and determine compliance with those requirements.
6. Ascertain that our clients meet ethical standards in their professional practices.
7. Represent its members, where appropriate, in matters of common interest.
8. Promote the benefits of certification to organizations, employers, public officials, practitioners in related fields, and the public.



## **Value of PECB Certification**

### **Why Choose PECB as Your Certification Body?**

#### **Global Recognition**

Selecting the right organization or certification body that offers qualitative and credible training and certification services can be a challenge. However, by choosing an accredited certification body, such as PECB, proves that you are in compliance with best practices, up to speed, and trustworthy.

Professionals who pursue a PECB certification credential will benefit from the recognition in domestic and overseas markets. Being accredited by some of the strictest and most reputable accreditation bodies in the world gives us global recognition.

#### **Competent Personnel**

PECB is acknowledged by technically competent people that have relevant sector experience. All our personnel hold professional credentials and are constantly trained and monitored to ensure more than satisfactory outcomes for our clients.

#### **Compliance to Standard**

Certification is proof of compliance to a particular standard. It proves that the standard's requirements and principles have been fulfilled and validated with adequate consistency, professionalism and impartiality. PECB accredited certifications are evidence of strict compliance with Standards and their conditions, therefore reflecting safety, reliability and superior quality.

#### **Reasonable Fees**

Being able to afford professional and credible certification services that are recognized globally can be a struggle in today's world. Besides being the lowest charging organization for professional training and certification services, including both the examination and certification process fees, PECB also has the lowest certification maintenance fees in the industry.

Why not benefit from the opportunity of attaining accredited professional certifications that are globally recognized, fully comply with standards, and easily affordable? PECB Certifications have proven to be effective instruments of confirmation for knowledge, skills and experience in a rapidly changing economy. By holding a PECB Certification, you will demonstrate that you have the necessary capabilities of shielding yourself and your organization against persistent, changing and undefined threats in a moderately challenging environment over a short period of time.



## **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 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 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 communicate intentionally 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 from this link:  
<https://pecb.com/en/pecb-code-of-ethics>.



## Introduction

ISO 19600 emphasizes the importance of leadership in embedding compliance in an organization's culture.

The standard provides guidance for establishing, developing, implementing, evaluating, maintaining and improving an effective and responsive compliance management system within an organization.

Therefore, the implementation of a compliance management system in accordance with ISO 19600 will increase the opportunity to achieve organizational objectives, reduce risks and increase profitability, create consistency, improve communication and ensure sustainable success.

As all activities of an organization involve compliance, today's employers are not just seeking Compliance Managers, but want proof of the skills and knowledge that these professionals have. Companies now place a high degree of importance on hiring, contracting with, and promoting certified practitioners prepared to tackle current and future 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 and have passed a standardized exam in the certification area.

This document specifies the PECB Lead Compliance Manager 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 international office at [certification@pecb.com](mailto:certification@pecb.com).

**Eric Lachapelle**  
Chief Executive Officer

**Faton Aliu**  
President and Chief Operating Officer



## PECB Certification Process Steps

### 1. Decide which Certification is Right for You

Each PECB certification has specific education and a set of experience requirements. To determine which credential is right for you, verify all eligibility requirements for the different Compliance Manager 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. To learn more about exams, competency domains and knowledge statements please go to: <https://pecb.com/examination>.

### 3. Apply and Schedule the Exam

Candidates shall contact one of our partners, who provide training courses and exam sessions worldwide. To find a training provider in your region, please follow this link [https://pecb.com/partner/active\\_partners](https://pecb.com/partner/active_partners). Also, the PECB training schedule is available here <https://pecb.com/events>.

### 4. Take the Exam

Candidates will be required to arrive at least 30 minutes before the start of the certification exam. Candidates arriving late will not be given compensatory time for the late arrival and may be denied to enter the exam. All candidates are required to present a valid identity card such as a national ID card, driver's license, or passport to the invigilator. The duration of the exam varies according to the type of examination taken (see description of the different exams for more details). Additional time can be provided to candidates taking the exam in a language different than their mother tongue (when requested by the candidates, on the exam day).

#### Exam type:

Essay types, known as "open book" exams, are exams where the candidates are authorized to only use the following reference materials:

- A copy of the standard in paper hardcopy;
- Course notes from the Participant Handout;
- Any personal notes made by the student during the course;
- A hard copy dictionary.
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For more information about exam details, please visit [Examination Rules and Policies](#)

### 5. Receive your Exam Results

Results will be communicated by email within a period of 6 to 8 weeks from your examination date. The candidate will be provided with only two possible examination results: pass or fail, rather than an exact grade.

In case of a failure, the results will be accompanied with the list of domains where the candidate failed to fully answer the question. This can help the candidate better prepare for a retake the exam. Candidates, who disagree with the exam results, may file a complaint by writing to [examination@pecb.com](mailto:examination@pecb.com).

## **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 will need to be fulfilled in order to be PECB certified. Candidates are required to fill out the online certification application form <https://pecb.com/en/user/checkEmail>, and fill out all other online forms (that can be accessed via their PECB online profile), including contact details of references who will be contacted to validate the candidates' professional experience. Lastly, before submitting the application, a candidate can choose to pay online or be billed. In case the candidate needs additional information, he/she should contact [accounting@pecb.com](mailto:accounting@pecb.com) and/or [certification@pecb.com](mailto:certification@pecb.com).

The approval of the application occurs as soon as the Certification Department validates that you fulfil all the certification requirements regarding the credential you have applied for. An email will be sent to the email address you provided during your application process to communicate your application status. If approved, you will then be able to download your certificate from your member account.

## **7. Maintain your Certification**

PECB certifications are valid for three years. To maintain the certification, the applicant shall demonstrate every year that he/she is still performing tasks that are related to the certification. PECB Certified professionals shall annually provide PECB with the number of hours of auditing and/or implementation related tasks they have performed, along with the contact details of individuals who can validate such tasks. Additionally, certified professionals should regularly pay the annual PECB certification maintenance fees.

A notification email is sent to our certified members, who are required to submit their Continuing Professional Development (CPD) along with the Annual Maintenance Fee (AMF) three months before the annual date of their certification. The PECB certified members will then be able to submit their CPDs by visiting their account and providing the required information for the respective certification.





## ISO 19600 Lead Compliance Manager

ISO 19600 Lead Compliance Manager credential is a professional certification for candidates aiming to demonstrate the competence to establish, implement, evaluate and maintain a Compliance Management System (CMS) based on the recommendations of ISO 19600.

The principal competencies and knowledge skills needed by the market are the ability to support an organization in implementing and managing a Compliance Management System (CMS), in order to meet all of the organization's compliance obligations and maintain a culture of integrity and compliance.

The recommendations set out in ISO 19600 Lead Compliance Manager are generic and are intended to be applicable to all organizations, regardless of type, size or nature.

### Various professionals may apply for this certification, including, but not limited to:

- Compliance officers/chief compliance officers leading the compliance function in organizations
- Expert advisors/consultants seeking to master the implementation and management of a compliance management system based on the recommendations of ISO 19600
- Individuals responsible for the maintenance of compliance obligations within an organization
- CMS team members

### The requirements for ISO 19600 Manager Certifications are:

Credential	Exam	Professional experience	Experience with compliance programs	Other requirements
<b>PECB Certified ISO 19600 Provisional Manager</b>	PECB Certified ISO 19600 Lead Compliance Manager exam or equivalent	None	None	Signing the PECB Code of Ethics
<b>PECB Certified ISO 19600 Compliance Manager</b>	PECB Certified ISO 19600 Lead Compliance Manager exam or equivalent	<b>Two years:</b> One year of work experience in Compliance Management	Compliance management activities: a total of 200 hours	Signing the PECB code of ethics
<b>PECB Certified ISO 19600 Lead Compliance Manager</b>	PECB Certified ISO 19600 Lead Compliance Manager exam or equivalent	<b>Five years:</b> Two years of work experience in Compliance management	Compliance management activities: a total of 300 hours	Signing the PECB Code of Ethics
<b>PECB Certified ISO 19600 Senior Lead Compliance Manager</b>	PECB Certified ISO 19600 Lead Compliance Manager exam or equivalent	<b>Ten years:</b> Seven years of work experience in Compliance management	Compliance management activities: a total of 1,000 hours	Signing the PECB Code of Ethics

If an applicant doesn't fulfil all the requirements to apply for the credential of ISO 19600 Lead Compliance Manager, he/she may apply for the credentials of ISO 19600 Compliance Manager or ISO 19600 Provisional Manager.



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

1. Defining a compliance management system
2. Planning the implementation of the compliance management system
3. Implementing and monitoring the CMS
4. Monitoring, evaluating and continually improving the CMS

## **General Information**

### **Applying for Certification**

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

- Two references, including their names and contact details;
- Their most recent CV;
- Their compliance management program 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 for Certification**

The application fee for certification is USD 500.

For all the candidates that have followed the training and the examination with one of PECB's Partners, application fees include examination, application for certification and one year of Annual Maintenance Fee (AMF).

#### **Examination Cancellations**

Please contact your partner for any changes regarding examination date, time, location, or other details.

### **About Examination**

#### **Admission Rules to Examination**

Candidates shall comply with all security rules established for testing. For more specific information about this exam, please contact [examination@pecb.com](mailto:examination@pecb.com) to request a copy of the corresponding exam preparation guide, or download it from the PECB website: <https://pecb.com/examination>.



## 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 reveals information about PECB examination content, he/she violates 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.

## Exam 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.

## 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.

## Examination Results

Scores are strictly confidential and they cannot be obtained over the phone or sent to a third-party. If you have questions concerning your test results, you should direct them in writing to [examination@pecb.com](mailto:examination@pecb.com).

## Exam Retake Policy

There is no limit on the number of times a candidate may retake an exam. However, there are some limitations in terms of the allowed time-frame in between exam retakes, such as:

- If a candidate does not pass the exam on the first attempt, he/she must wait 15 days for the next attempt (1st retake). Retake fee apply.

**Note:** *Students, who have completed the full training but failed the written exam, are eligible to retake the exam once for free within a 12 month period from the initial date of the exam.*

- If a candidate does not pass the exam on the second attempt, he/she must wait 3 months (from the initial date of the exam) for the next attempt (2nd retake). Retake fees apply.



- If a candidate does not pass the exam on the third attempt, he/she must wait for 6 months (from the initial date of the exam) for the next attempt (3rd retake). Retake fees apply.

After the fourth attempt, a waiting period of 12 months from the last session date is required, in order for the candidate to retake the same exam. Regular fees apply.

For the candidates that fail the exam in the 2nd retake, PECB recommends to attend an official training in order to be better prepared for the exam.

To arrange exam retakes (date, time, place, costs), the candidate needs to contact the PECB partner who has initially organized the session.

### **Closing a Case**

If an applicant does not apply for his/her certificate within three years, their case will be closed. Even though an applicant's certification period expires they have the right to reopen their case, however, PECB will no longer be responsible for any changes regarding the conditions, standards, policies, candidate handbook or exam preparation guide that were applicable before the applicant's case was closed. Applicants requesting their case to reopen must do so in writing, and pay the required fees.

### **About Certification**

#### **Professional References**

Professional reference contacts shall be the individuals who have professionally worked with you and can validate your compliance management 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 who is a relative. The candidates shall provide two references for each certification application.

#### **Professional Experience**

Complete information is required: including job title, commence and end dates, job description and more. Summarize each assignment, providing sufficient details to describe the nature of the responsibilities that you have had. The detailed information is advised to be included in the resume.

#### **CM Program Experience**

The candidate's compliance management experience log will be checked to ensure that the applicant has the required number of compliance management-hours. This information can be detailed in your resume.

### **Evaluation of Certification Applications**

The Certification Department will evaluate each application to validate the candidate's eligibility to certification. A candidate whose application is being reviewed will be notified in writing 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/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 Body in writing.

The application payment for the certificate is not refundable. This is due to the initiation of the procedures concerning the verification of the application, verification of the evidence submitted by the candidates, as well as the engagement of the relevant units in this process.

### **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 his/her certification, the applicant must demonstrate every year that he/she is still performing tasks that are related to the certification. Three months before the expiration date of the certification, the certified member will be informed via email that he/she can submit their final CPD information along with AMF and a renew link will be displayed on his/her dashboard, next to his/her specific certificate.

PECB certified professional who fails to provide the required CPD hours will have his/her PECB credentials downgraded.

To find out more about Certification maintenance and re-certification process, please visit: <https://pecb.com/certification-maintenance>.

### **Upgrade of Credentials**

Professional can apply to upgrade to a higher credential as soon as they can document that they fulfil the requirements.

In order to apply for an upgrade, please log in to your PECB Member Account, visit the "My Certifications" tab and click on the "Upgrade" link. The upgrade application fee is \$100.

For example, if a professional has been certified as an ISO 19600 Compliance Manager and has 5 years of work experience, two of which are related to compliance management, and a total of 200 hours of compliance activities, and within a year he/she makes an additional 100 hours, adding up to a total of 300 hours compliance activities, the professional can apply to be upgraded to ISO 19600 Lead Compliance Manager.



## About PECB General Policies


### PECB Code of Ethics

The PECB Code of Ethics can be found at: <https://pecb.com/en/pecb-code-of-ethics>. Adherence of professionals to the 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, but also each member should encourage and support adherence by other members.

### Other Exams and Certifications

PECB does accept certifications and exams provided from other recognized accredited certification bodies. PECB will evaluate the requests through its equivalency process to decide whether the respective certification(s) and/or exam(s) can be accepted as equivalent to the respective PECB Certificate (ex. ISO/IEC 27001 Lead Auditor Certificate).

### 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 <sup>(1)</sup> as required by the Americans with Disabilities Act (ADA) <sup>(2)</sup> 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. Click here to download [Special Accommodations for Candidates with Disabilities Form](#) .

### 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://pecb.com/complaint-and-appeal-procedure>.

(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.

**PECB**



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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. Visit Help Center here: [www.pecb.com/help](http://www.pecb.com/help).

**Emails:**

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Customer Service: [customer@pecb.com](mailto:customer@pecb.com)

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