

Candidate Handbook

ISO 37001 Foundation



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SECTION I: INTRODUCTION

About PECB

PECB is a certificate issuer which provides certificate programs in accordance with ASTM E2659-18 for individuals on a wide range of disciplines.

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

The key objectives of PECB are:

1. Establishing the minimum requirements necessary for the certificate programs
2. Reviewing and verifying the qualifications of applicant to ensure they are eligible to apply for the certificate programs
3. Developing and maintaining reliable exams
4. Granting certificates to qualified candidates, maintaining records, and publishing a directory of the holders of a valid certificates
5. Representing its members, where appropriate, in matters of common interest
6. Promoting the benefits of certificate programs to organizations, employers, public officials, practitioners in related fields, and the public

PECB

The Value of PECB Certificate Program

Why Choose PECB as Your Certificate Issuer?

Global Recognition

Professionals who pursue a PECB certificate program will benefit from PECB's recognition in domestic and international markets.

Competent Personnel

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

Compliance with Standards

Our certificate programs are a demonstration of compliance with ASTM E2659. They ensure that the standard requirements have been fulfilled and validated with the adequate consistency, professionalism, and impartiality.

Customer Service

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



PECB Code of Ethics

PECB professionals will:

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

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



Introduction to ISO 37001 Foundation

ISO 37001 specifies the requirements for establishing, implementing, maintaining, and continually improving an anti-bribery management system (ABMS). The purpose of the ISO 37001 Foundation certificate program is to help participants understand the basic anti-bribery management concepts and an overall knowledge of ISO 37001 requirements for an ABMS.

The “ISO 37001 Foundation” certificate demonstrates that individuals have fundamental knowledge of ISO 37001 requirements for implementing and managing an ABMS. The ISO 37001 Foundation certificate is intended for:

- Managers and consultants wishing to get acquainted with the requirements of ISO 37001 for an anti-bribery management system (ABMS)
- Managers responsible for practicing due diligence with regard to bribery
- Individuals wishing to contribute in maintaining the organizational integrity by supporting ethical behavior
- Managers and members of governance, risk management, and compliance teams
- Individuals aspiring to become anti-bribery consultants

It is important to understand that PECB certificates are not a license or simply a membership. They represent peer recognition that an individual has demonstrated proficiency in, and comprehension of, a set of competences.

This document specifies the PECB ISO 37001 Foundation Certificate Program in compliance with ASTM E2659. This candidate handbook contains information about the process by which candidates may earn their credentials. It is very important that you read all the information included in this candidate handbook before completing and submitting your application. If you have questions after reading it, please contact the PECB international office at certification@pecb.com.

SECTION II: PECB CERTIFICATE PROGRAM PROCESS AND EXAMINATION PREPARATION, RULES, AND POLICIES

Decide Which Certificate Is Right for You

To determine the right credential for you, verify the eligibility criteria for various certificates and your professional needs.

Schedule the Training Course

The first step is to take the training course. Candidates can access the list of the PECB Training Courses [here](#).

Prepare and Schedule the Exam

After completing the training course, candidates need to schedule the exam:

- Contact one of our resellers who provide certificate programs and exam sessions. To find a certificate programs provider in a particular region, candidates should go to [Active Resellers](#). The PECB training course schedule is also available on [Training Events](#).

ISO 37001 Foundation Summative Assessment

The summative assessment of the “PECB ISO 37001 Foundation” certificate program is in the form of a written exam. The objective of the “PECB ISO 37001 Foundation” exam is to ensure that the candidate has acquired fundamental knowledge of the main concepts and processes related to the implementation and management of an anti-bribery management system (ABMS). The exam aims to measure the knowledge and understanding of the learner compared to the intended learning outcomes of the certificate program.

Competency Domains

The exam covers the following competency domains:

- **Domain 1:** Fundamental principles and concepts of an anti-bribery management system (AMBS)
- **Domain 2:** ISO 37001 requirements for an anti-bribery management system – Clauses 4 to 10

The tables below provide the intended learning outcomes of the ISO 37001 Foundation certificate program in terms of competencies and knowledge.

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

Domain 2: ISO 37001 requirements for an anti-bribery management system – Clauses 4 to 10

Main objective: Ensure that the candidate understands, is able to interpret and identify the requirements for an anti-bribery management system based on ISO 37001

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

Based on the abovementioned domains and their relevance, 40 questions are included in the multiple-choice exam, as summarized in the table below:

				Level of understanding (Cognitive/Taxonomy) required		Sections related to each competency domain
				Questions that measure comprehension, application, and analysis	Questions that measure synthesis and evaluation	
		Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain			
Competency domains	Fundamental principles and concepts of an anti-bribery management system (ABMS)	11	27.5	X		Sections 2, 3, and 4
	ISO 37001 requirements for an anti-bribery management system – Clauses 4 to 10	29	72.5		X	Sections 5, 6, 7, 8, 9, 10, and 11
Total		40	100%			
Number of questions per level of understanding				11	29	
% of the exam devoted to each level of understanding (cognitive/taxonomy)				50%	50%	

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

Taking the Exam

General Information on the Exam

Candidates are required to arrive/be present at least 30 minutes before the exam starts. Candidates who arrive late will not be given additional time to compensate for the late arrival and may not be allowed to sit for the exam.

Candidates are required to bring a valid identity card (a national ID card, driver's license, or passport) and show it to the invigilator.

The exam duration is one hour. If requested on the day of the exam (paper-based exams), 10 additional minutes can be provided to candidates taking the Foundation exam in a non-native language.

PECB Exam Format and Type

- 1. Paper-based:** Exams are provided on paper, where candidates are not allowed to use anything but the exam paper and a pen. The use of electronic devices, such as laptops, tablets, or phones, is not allowed. The exam session is supervised by a PECB approved Invigilator at the location where the Reseller has organized the training course.
- 2. Online:** Exams are provided electronically via the PECB Exams application. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PECB Invigilator via the PECB Exams application and an external/integrated camera.

For more detailed information about the online format, please refer to the [PECB Online Exam Guide](#).

This exam contains multiple choice questions: This format has been chosen because it has proven to be effective and efficient for measuring and assessing learning outcomes related to the defined competency domains. The multiple-choice exam can be used to evaluate a learner's understanding on many subjects, including both simple and complex concepts. You will find a sample of exam questions provided below.

Since the PECB ISO 37001 Foundation exam is "closed book", candidates are not authorized to use reference materials.

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

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

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

Sample Exam Questions

1. **What must the outputs of the top management review include?**
 - A. Only decisions related to continual improvement opportunities
 - B. Only decisions related to any changes to the ABMS
 - C. **Both**

2. **With regard to gifts, hospitality, donations, and similar benefits, which of the following does the standard require?**
 - A. The organization must implement procedures prohibit the only acceptance of any type of gift, hospitality, donation, and similar benefit
 - B. **The organization must implement procedures to prevent the offering, provision, or acceptance of gifts, hospitality, donations, and similar benefits in cases when these are or may be perceived as bribery**
 - C. The organization must prohibit the provision of gifts, hospitality, donations, and similar benefits

3. **To which of the following group must the anti-bribery policy be communicated directly?**
 - A. To everyone
 - B. Only to those who are under the direct control of the organization
 - C. **To personnel and business associates who pose more than a low bribery risk**

4. **Can an organization assign all of the anti-bribery compliance function to persons external to the organization?**
 - A. **Yes it can**
 - B. Depends, only in cases where it is required by law
 - C. No, the anti-bribery compliance function must be assigned entirely to persons who are part of the organization

5. **Which of the following is the top management of an organization is NOT required to do:**
 - A. Encouraging the use of reporting procedures for suspected and actual bribery
 - B. **Conducting internal audits**
 - C. Directing personnel to contribute to the effectiveness of the ABMS

Receiving the Exam Results

Exam results will be communicated via email. The only possible results are *pass* and *fail*.

- The time span for the communication starts from the exam date and lasts two to four weeks for multiple-choice paper-based exams.
- For online multiple-choice exams, candidates receive their results instantly.

Candidates who successfully complete the exam will be able to apply for one of the credentials of the respective certificate program.

For candidates who fail the exam, a list of the domains where they have performed poorly will be added to the email to help them prepare better for a retake.

Exam Retake Policy

There is no limit to the number of times a candidate can retake an exam. However, there are certain limitations in terms of the allowed time span between exam retakes.

- If a candidate does not pass the exam on the 1st attempt, they must wait 15 days from the initial date of the exam for the next attempt (1st retake). Retake fees apply.
Note: Candidates who have completed the training course but failed the 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 2nd attempt, they must wait three months after the initial date of the exam for the next attempt (2nd retake). Retake fees apply.
Note: For candidates that fail the exam in the 2nd retake, PECB recommends them to attend a training course in order to be better prepared for the exam.
- If a candidate does not pass the exam on the 3rd attempt, they must wait six months after the initial date of the exam for the next attempt (3rd retake). Retake fees apply.
- After the 4th attempt, the waiting period for further retake exams is 12 months from the date of the last attempt. Retake fees apply.

To arrange exam retakes (date, time, place, costs), candidates need to contact the PECB Reseller/Distributor who has initially organized the session.

Exam Security

A significant component of a professional certificate credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certificate holders and applicants to maintain the security and confidentiality of PECB exams. Any disclosure of information about the content of PECB exams is a direct violation of PECB's Code of Ethics. PECB will take action against any individuals that violate such rules and policies, including permanently banning individuals from pursuing PECB credentials and revoking any previous ones. PECB will also pursue legal action against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

PECB

Reschedule the Exam

For any changes with regard to the exam date, time, location, or other details, please contact examination@pecb.com.

Apply for the Certificate

All candidates who successfully pass the ISO 37001 Foundation exam are entitled to apply for the PECB Certificate Holder in ISO 37001 Foundation certificate. Candidates are required to fill out the online certificate application form (that can be accessed via their PECB online profile). Candidates can submit their application in various languages. Candidates can choose to either pay online or be billed. For additional information, contact certification@pecb.com.

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

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

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

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

PECB provides support in both English and French.

Closing a Case

If candidates do not apply for the certificate within three years, their case will be closed. Even though the certificate period expires, candidates have the right to reopen their case. However, PECB will no longer be responsible for any changes regarding the conditions, standards, policies, and candidate handbook that were applicable before the case was closed. A candidate requesting their case to reopen must do so in writing and pay the required fee.

SECTION III: CERTIFICATE PROGRAM REQUISITES

ISO 37001 Foundation

First, a candidate needs to complete the PECB ISO 37001 Foundation training course. Then, they need to take the exam and after successfully passing the exam, candidates will be able to apply for the “PECB Certificate Holder in ISO 37001 Foundation” certificate. This is an entry-level credential.

There are no prerequisites on professional or management system project experience required. Thus, following the training course, passing the exam and applying for the certificate are the only certificate program requisites that certificate holders shall meet before obtaining the certificate.

Designation	Training course	Exam	Professional experience	MS project experience	Other requirements
PECB Certificate Holder in ISO 37001 Foundation	Complete the PECB ISO 37001 Foundation Training Course	Pass the PECB ISO 37001 Foundation exam	None	None	Signing the PECB Code of Ethics

SECTION IV: CERTIFICATE RULES AND POLICIES

Evaluation of the Certificate Applications

The Certification Department will evaluate each application to validate the candidate's eligibility for the certificate. A candidate whose application is being reviewed will be notified in writing and, if necessary, given a reasonable time frame to provide any additional documentation. If a candidate does not respond by the deadline or does not provide the required documentation within the given time frame, the Certification Department will validate the application based on the initial information provided, which can eventually lead to rejecting the application.

Denial of the Certificate

PECB can deny the certificate if candidates:

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

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

The application payment for the certificate is non-refundable.

Invalidation of the PECB Foundation Certificates

PECB Foundation certificates are invalidated only if the person it was issued to is found to have not fulfilled the certificate program requisites in the first place. Examples of circumstances that might lead to the certificate issuer's invalidation of a certificate include:

- a learner's falsification or misrepresentation of identity or information to the certificate issuer or
- participation in activities that provided an unfair advantage in meeting the certificate program's requirements

SECTION V: PECB GENERAL POLICIES

PECB Code of Ethics

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

Non-discrimination and Special Accommodations

All candidate applications will be evaluated objectively, regardless of the candidate's age, gender, race, religion, nationality, or marital status.

To ensure equal opportunities for all qualified persons, PECB will make reasonable accommodations for candidates, when appropriate. If candidates need special accommodations because of a disability or a specific physical condition, they should inform the Reseller/Distributor in order for them to make proper arrangements. Any information candidates provide regarding their disability/need will be treated with strict confidentiality.

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

Complaints and Appeals

Any complaints must be made no later than 30 days after receiving the certificate decision. PECB will provide a written response to the candidate within 30 working days after receiving the complaint. If they do not find the response satisfactory, the candidate has the right to file an appeal. For more information about the complaints and appeal procedures, click [here](#).

(1) According to ADA, the term "reasonable accommodation" may include: (A) making existing facilities used by employees readily accessible to and usable by individuals with disabilities; and (B) job restructuring, part-time or modified work schedules, reassignment to a vacant position, acquisition or modification of equipment or devices, appropriate adjustment or modifications of examinations, training materials or policies, the provision of qualified readers or interpreters, and other similar accommodations for individuals with disabilities.

(2) ADA Amendments Act of 2008 (P.L. 110-325) Sec. 12189. Examinations and courses. [Section 309]: Any person that offers examinations or courses related to applications, licensing, certification, or credentialing for secondary or post-secondary education, professional, or trade purposes shall offer such examinations or courses in a place and manner accessible to persons with disabilities or offer alternative accessible arrangements for such individuals.

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PECB Help Center

Visit our [Help Center](#) to browse Frequently Asked Questions (FAQ), view manuals for using PECB website and applications, read documents related to PECB processes, or to contact us via Support Center's online tracking system.

Emails:

Examination: examination@pecb.com
Certification: certification@pecb.com
Customer Service: customer@pecb.com

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