

# Candidate Handbook

ISO 37001 MASTER

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## ABOUT PECB

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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, Information Technology, Business Continuity, Service Management, Quality Management, Risk Management, Health, Safety, and Environment.

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

### **The principal objectives of PECB include:**

1. Establishing the minimum requirements necessary to certify professionals, organizations, and products
2. Reviewing and verifying the qualifications of candidates to ensure that they are eligible to apply for a PECB certificate
3. Developing and maintaining reliable, valid, and current PECB certificate application processes
4. Granting certificates to qualified candidates, organizations, and products; maintaining records; and publishing a directory of the candidate who hold valid PECB certificates
5. Establishing requirements for the periodic renewal of PECB certificates and ensuring compliance with those requirements
6. Ascertaining that certified individuals meet ethical standards and adhere to the PECB Code of Ethics
7. Promoting the benefits of certification for organizations, employers, public officials, practitioners in related fields, and the public

## VALUE OF PECB CERTIFICATION

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### Why Choose PECB as Your Certification Body?

#### Global Recognition

Selecting the right certification body that offers qualitative and credible training and certification services can be challenging. However, by choosing an accredited certification body such as PECB proves that you are compliant with best practices, up to date, and trustworthy.

Individuals who obtain a PECB certificate will benefit from the recognition in domestic and overseas markets. Being accredited by some of the most reputable accreditation bodies in the world gives us global recognition.

#### Competent Personnel

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

#### Compliance with Standards

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

#### Reasonable Fees

Apart from being the lowest charging organization for professional training and certification services, including both the examination and certification processes, PECB also charges the lowest certification maintenance fees in the industry.

Why not benefit from the opportunity of attaining accredited professional certifications that are globally recognized, fully compliant with standards, and affordable? PECB certifications have proven to be effective instruments for the validation of knowledge, skills, and experience in a rapidly changing economy. By holding a PECB certification, you will demonstrate that you have the necessary capabilities to safeguard 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

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### 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 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 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:

<https://pecb.com/en/pecb-code-of-ethics>.

## INTRODUCTION

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ISO 37001 specifies the requirements for an anti-bribery management system, whereby an organization needs to:

- Needs to demonstrate its commitment to combat bribery of the organization, by the organization, of the organization's personnel, by the organization's personnel, of business associates and by business associates in compliance with regulatory requirements.
- Needs to demonstrate its commitment to prevent, detect and address bribery risk
- Needs to enhance an anti-bribery culture within the organization and among employees
- Needs to address risks and opportunities associated with the context and objectives, and
- Needs to demonstrate conformity to specified anti-bribery management system requirements.

All requirements of ISO 37001 are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.

Applicability of ISO 37001 requirement(s) must be reviewed as their applicability depends on the organization's size and complexity, organization's activities and management model, as well as the risks and opportunities it encounters.

Today's employers are not just seeking Anti-bribery Management 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 practitioners prepared to tackle today and tomorrow's Service 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, professional references and have passed a standardized exam in the certification area.

This document specifies the PECB ISO 37001 Master 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 office at [certification.team@pecb.com](mailto:certification.team@pecb.com).

## PECB CERTIFICATION PROCESS STEPS

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### 1. Decide which certification is right for you

Each PECB certification has specific education and professional experience requirements. To determine which credential is right for you, verify the eligibility criteria for the various ISO 37001 certifications and your professional needs.

### 2. How to get PECB master credential?

In order to become a PECB Master certified, an individual should fulfill all the PECB requirements. PECB certified individuals who possess the Lead Implementer and Lead Auditor credentials or passed the respective exams are qualified for a PECB Certified Master Credential. Furthermore, individuals should accomplish a number of hours of activities in implementation and auditing of ISO 37001 as well as pass four foundation exams related to the certification field.

### 3. 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 the 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.support@pecb.com](mailto:accounting.support@pecb.com) and/or [certification.team@pecb.com](mailto:certification.team@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.

### 4. Maintain your certification

PECB certifications are valid for three years. To maintain the certification, the candidates shall demonstrate every year that they are 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 the 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 CPD credits by visiting their account and providing the required information for the respective certification.

## ISO 37001 MASTER

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The ISO 37001 Master credential is a professional certification for candidates who intend to demonstrate the competence to manage and implement an Anti-bribery Management System (ABMS) and master the audit techniques to manage (or be part of) audit teams and audit programs.

The principal competencies and knowledge skills needed by the market are the ability to support an organization in implementing and managing an Anti-bribery Management System as specified in ISO 37001 as well as manage an audit program.

The ISO 37001 Master certification is intended for:

- Senior managers or senior consultants seeking to master the implementation of an Anti-bribery Management System (ABMS)
- Senior auditors wishing to master the Anti-bribery Management System (ABMS) audit process
- Senior experts in Anti-bribery Management System (ABMS)

Credential	Exam	Professional experience	MS experience	Other requirements
<b>PECB Certified ISO 37001 Master</b>	PECB Certified ISO 37001 Lead Auditor Exam or equivalent, and PECB Certified ISO 37001 Lead Implementer exam or equivalent (4 additional foundation exams)	15 years: 10 years of anti-bribery management work experience	Project activities: 700 hours Audit activities: 700 hours	Signing the PECB Code of Ethics

## GENERAL INFORMATION

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### Applying for Certification

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

- Two references, including their names and contact details
- Their most recent CV
- Their anti-bribery audit/implementation log

PECB will validate a candidate's professional experience with the references to ensure the accuracy of the application.

### About Application

#### Language

PECB provides support in both English and French languages.

#### Application Fees for Certification

The application fee for certification is \$100.

For all the candidates that have followed the training course and the exam with one of PECB's resellers, the application fee includes the costs associated with examination, application for certification, and the first year of Annual Maintenance Fee (AMF) only.

## ABOUT CERTIFICATION

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### Professional References

For each certification application, two professional references are required. Professional references shall be the individuals who have worked with you in a professional environment and can validate your anti-bribery audit/implementation experience, current, and previous work history. You cannot use as a professional reference the persons who fall under your supervision or are a relative of yours.

### Professional Experience

Candidates shall provide complete information regarding their professional experience, including job title(s), commencement and end date(s), job description(s), and more. Candidates are advised to summarize their previous or current assignments, providing sufficient details to describe the nature of the responsibilities that they have had. More detailed information can be included in the résumé.

### ABMS Audit Experience

The candidate's audit log will be checked to ensure that the candidate has the required number of audit hours. The following audit types constitute valid audit experience: pre-audit, gap analysis, internal audits, second party audits, third party audits, or opinion audits.

### ABMS Project Experience

The candidate's anti-bribery management experience log will be checked to ensure that the applicant has achieved the required number of implementation-hours.

### 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 of Certification

PECB can deny certification if candidates:

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

Any concerns regarding the denial of certification can be appealed in writing to the Certification Board.

The application payment for the certificate is non-refundable. This is because of the process of verifying the application, verifying the evidence submitted by the candidates, and verifying the engagement of the relevant units in this process.

### Suspension of Certification

PECB can temporarily suspend certification if the candidate fails to satisfy the requirements of PECB. Additional reasons for suspending certification can be if:

- PECB receives excessive or serious complaints by interested parties (Suspension will be applied until the investigation has been completed.).
- The logos of PECB or Accreditation Bodies are wilfully misused.

- The candidate fails to correct the misuse of a certification mark within the determined time by PECB.
- The certified individual has voluntarily requested a suspension.

PECB deems appropriate other conditions for suspension of certification

### Revocation of Certification

PECB can revoke (that is, to withdraw) certification if the candidate fails to satisfy the PECB requirements. Candidates are then no longer allowed to represent themselves as PECB certified professionals. Additional reasons for revoking certification can be if candidates:

- Violate the PECB Code of Ethics
- Misrepresent and provide false information of the scope of the certificate
- Break any other PECB rules

### Annual Maintenance Fee for Certification

To maintain their credentials, candidates should pay the Annual Maintenance Fee (AMF) every year. Only the candidates who pay the AMF will appear online in the PECB Directory of Certified Professional.

### Recertification

PECB certificates are valid for three years. In order to maintain a certificate, candidates are required to provide evidence that they are performing activities related to the respective certification on an annual basis. In addition, candidates are also required to pay the Annual Maintenance Fee (AMF).

After successfully maintaining a PECB certificate for three years, candidates can then apply for a renewal of their certificate.

**Note:** *PECB Certified Professionals who hold Lead Certificates and fail to provide evidence of certification maintenance requirements will have their credentials downgraded. On the other hand, holders of Master Certificates who fail to submit CPDs and pay AMFs will have their certificates revoked.*

To find out more about the Recertification process, please visit:

<https://pecb.com/en/certification-maintenance>.

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## ABOUT PECB GENERAL POLICIES

### PECB Code of Ethics


You can find the PECB Code of Ethics at: <https://pecb.com/en/pecb-code-of-ethics>. Adherence 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 of 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 equivalence process to decide whether the respective certification(s) or exam(s) can be accepted as equivalent to the respective PECB certificate (e.g., 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 accommodation <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 accommodation must make the request in writing and allow an extra two weeks for the processing of the application. Click here to download [Special Accommodations for Candidates with Disabilities Form](#) 

## Complaints and Appeals

Any complaint that a candidate has must be made no later than 30 days after their certification has been denied. Within 30 working days after receiving the complaint, PECB will provide a written response to the candidate. Should the response from PECB not be satisfactory, the candidate has the right to file an appeal. You can read more about the complaint and appeal procedures by visiting the following link: <https://pecb.com/en/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.



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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)

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