

Candidate Handbook

ISO 37301 LEAD IMPLEMENTER



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SECTION I: INTRODUCTION

About PECB

PECB is a certification body which provides education¹ and certification in accordance with ISO/IEC 17024 for individuals on a wide range of disciplines.

We help professionals show commitment and competence by providing them with valuable evaluation and certification services 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 to certify professionals
2. Reviewing and verifying the qualifications of applicant to ensure they are eligible to apply for certification
3. Developing and maintaining reliable certification evaluations
4. Granting certifications to qualified candidates, maintaining records, and publishing a directory of the holders of a valid certification
5. Establishing requirements for the periodic renewal of certification and ensuring compliance with those requirements
6. Ensuring that candidates 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 organizations, employers, public officials, practitioners in related fields, and the public

¹ Education refers to training courses developed by PECB, and offered globally through our network of resellers.
PECB Candidate Handbook



The Value of PECB Certification

Why Choose PECB as Your Certification Body?

Global Recognition

Our certifications are internationally recognized and accredited by the International Accreditation Service (IAS); signatory of IAF Multilateral Recognition Arrangement (MLA) which ensures mutual recognition of accredited certification between signatories to the MLA and acceptance of accredited certification in many markets. Therefore, professionals who pursue a PECB certification credential 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 certifications are a demonstration of compliance with ISO/IEC 17024. 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 37301 Lead Implementer

ISO 37301 specifies the requirements and provides guidelines for establishing, developing, implementing, evaluating, maintaining, and improving an effective compliance management system (CMS). Compliance is an ongoing process through which organizations demonstrate commitment to comply with relevant laws, regulations, industry codes, and organizational standards.

The requirements of ISO 37301 are applicable to all types of organizations, regardless of the type, size, nature of activities, and industry sector. However, their implementation differs based on the size and maturity level of the organization's CMS, and on the nature, context, and complexity of the overall organization's objectives and operations.

Compliance management professionals are required to provide evidence of their knowledge and skills. To employers, it is crucial to ensure that the compliance practitioners they hire are credentialed and prepared to tackle present and future compliance challenges.

PECB certifications are not a mere license or membership card. They represent peer recognition that an individual has demonstrated proficiency in, and comprehension of, a set of competences. PECB certifications are awarded to candidates that can demonstrate experience and have passed a standardized exam in the certification area.

This document specifies the PECB ISO 37301 Lead Implementer certification scheme in compliance with ISO/IEC 17024:2012. This candidate handbook also contains information about the process by which candidates may earn and maintain 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 CERTIFICATION PROCESS AND EXAMINATION PREPARATION, RULES, AND POLICIES

Decide Which Certification Is Right for You

All PECB certifications have specific education and professional experience requirements. To determine the right credential for you, verify the eligibility criteria for various certifications and your professional needs.

Prepare and Schedule the Exam

All candidates are responsible for their own study and preparation for certification exams. No specific set of training courses or curriculum of study is required as part of the certification process. Nevertheless, attending a training course can significantly increase candidates' chances of successfully passing a PECB exam.

To schedule an exam, candidates have two options:

1. Contact one of our resellers who provide training courses and exam sessions. To find a training course provider in a particular region, candidates should go to [Active Resellers](#). The PECB training course schedule is also available on [Training Events](#).
2. Take a PECB exam remotely from their home or any location they desire through the PECB Exam application, which can be accessed here: [Exam Events](#).

To learn more about exams, competency domains, and knowledge statements, please refer to *Section III* of this document.

Application Fees for Examination and Certification

PECB offers direct exams, where a candidate can sit for the exam without attending the training course. The applicable prices are as follows:

- Lead Exam: \$1000
- Manager Exam: \$700
- Foundation and Transition Exam: \$500

The application fee for certification is \$500.

For all candidates that have followed the training course and taken 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.

Competency Domains

The objective of the "PECB ISO 37301 Lead Implementer" exam is to ensure that the candidate has acquired the necessary expertise to support an organization in establishing, implementing, managing and maintaining the Compliance Management System (CMS).

The 37301 Lead Implementer certification is intended for:

- Managers or consultants involved in and concerned with the implementation of a compliance management system in an organization
- Project managers, consultants, or expert advisers seeking to master the implementation of a compliance management system

- Individuals responsible for maintaining conformity with the compliance requirements in an organization
- Members of a CMS implementation team

The exam covers the following competency domain:

- **Domain 1:** Fundamental principles and concepts of a compliance management system (CMS)
- **Domain 2:** Initiation of a CMS implementation
- **Domain 3:** Planning of a CMS implementation based on ISO 37301
- **Domain 4:** Implementation of a CMS based on ISO 37301
- **Domain 5:** Monitoring and measurement of a CMS based on ISO 37301
- **Domain 6:** Continual improvement of a CMS based on ISO 37301
- **Domain 7:** Preparation for a CMS certification audit

Domain 1: Fundamental principles and concepts of a compliance management system (CMS)

Main objective: Ensure that the candidate understands and is able to interpret ISO 37301 principles and concepts

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the development of ISO 37301 2. Ability to understand and explain the main concepts of a CMS 3. Ability to understand and explain management system standards 4. Ability to distinguish and explain the difference between compliance programs and a CMS 5. Ability to understand, interpret, and explain the compliance pillars 	<ol style="list-style-type: none"> 1. Knowledge of the compliance laws, regulations, international and industry standards, contracts, market practices, internal policies, etc. 2. Knowledge of the main concepts and terminology of ISO 37301 3. Knowledge of the benefits of a CMS based on ISO 37301 4. Knowledge of the difference and relationship between compliance programs and a CMS 5. Knowledge of stand-alone and integrated management systems 6. Knowledge of the core compliance principles 7. Knowledge of the purpose and activities of modern compliance 8. Knowledge of the common issues and challenges faced by an organization while adhering to compliance obligations

Domain 2: Initiation of a CMS implementation

Main objective: Ensure that the candidate is able to initiate the implementation of a CMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to define the approach for the CMS implementation 2. Ability to distinguish and understand the role of a CMS project manager as an employee or external consultant 3. Ability to create a business case for the initiation of the CMS implementation 4. Ability to understand and interpret the framework for managing the CMS implementation 5. Ability to understand the role of top management and governing body with respect to the CMS 6. Ability to develop, maintain, and promote a compliance culture 7. Ability to establish a compliance policy 8. Ability to assign and communicate responsibilities and authorities for relevant roles with regard to the CMS 	<ol style="list-style-type: none"> 1. Knowledge of the main project management concepts, terminology, processes, and best practices 2. Knowledge of the principal approaches and methodology used to implement a CMS 3. Knowledge of the determining factors of the CMS implementation approach 4. Knowledge of the good practices for the CMS implementation approach 5. Knowledge of the strengths and challenges of a CMS project manager whether being an employee or an external consultant 6. Knowledge of the purpose of creating a business case 7. Knowledge of the components of the business case 8. Knowledge of the best practices for the CMS implementation 9. Knowledge of the objectives of the CMS implementation project 10. Knowledge of the responsibilities of the top management and governing body with regard to the CMS 11. Knowledge of the development of a compliance culture 12. Knowledge of the steps needed to promote ethical behavior 13. Knowledge of the best practices and techniques used to draft and establish compliance policies and procedures 14. Knowledge of the roles and responsibilities of the governing body, top management, managers, and compliance function regarding the CMS 15. Knowledge of the components for a successful compliance function

	16. Knowledge of the roles and responsibilities of middle management and all personnel with regard to the CMS
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Domain 3: Planning of a CMS implementation based on ISO 37301

Main objective: Ensure that the candidate is able to plan the implementation of the CMS based on ISO 37301

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to collect, analyze, and interpret the information required to plan a CMS implementation 2. Ability to understand and set compliance objectives and obligations 3. Ability to identify and interpret CMS risks and their impacts 4. Ability to analyze and consider the internal and external context of an organization 5. Ability to identify the resources required for the CMS implementation 6. Ability to manage, estimate, and monitor the required resources for the CMS implementation 7. Ability to identify the roles and responsibilities of key interested parties during and after the implementation and operation of a CMS 8. Ability to draft, file, and review a CMS project plan 9. Ability to perform a gap analysis and clarify the compliance management objectives 10. Ability to define and justify a CMS scope adapted to the organization's specific compliance objectives 11. Ability to perform the different steps of the risk assessment process 12. Ability to define necessary CMS competence of personnel 13. Ability to define and implement appropriate compliance training and awareness programs and communication plans 14. Ability to define the documentation and record management processes needed to support the implementation and operations of a CMS 	<ol style="list-style-type: none"> 1. Knowledge of typical compliance and CMS objectives and how to achieve specific results 2. Knowledge of what typically constitutes an organization's internal and external context 3. Knowledge of the approaches used to understand the context of an organization 4. Knowledge of the techniques used to gather information on an organization and to perform a gap analysis of a management system 5. Knowledge of the CMS project plan and the CMS project team 6. Knowledge of the resources required for a CMS implementation 7. Knowledge of the main organizational structures applicable for an organization to manage a CMS 8. Knowledge of the characteristics of a CMS scope in terms of organizational, technological, and physical boundaries 9. Knowledge of the different approaches and methodologies used to perform the risk assessment process 10. Knowledge of the compliance obligations and their impact on the organization's operations 11. Knowledge of the types and areas of compliance obligations 12. Knowledge of the competence needed for a successful CMS 13. Knowledge of the characteristics and the best practices of implementing compliance training and awareness programs and communication plans 14. Knowledge of the best practices on documented information life cycle management 15. Knowledge of the characteristics and the differences between the different documented information related to a CMS policy, procedure, guideline, standard, baseline, worksheet, etc.

Domain 4: Implementation of a CMS

Main objective: Ensure that the candidate is able to implement the processes of a CMS required for an ISO 37301 certification

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to define, design, and implement processes necessary for the operation of a CMS and properly document them 2. Ability to manage externally provided processes that are relevant to the CMS 3. Ability to manage contracts with third parties 4. Ability to establish controls and procedures to manage compliance obligations and associated compliance risks 5. Ability to establish and communicate a code of conduct 6. Ability to establish, implement, and maintain a process for raising compliance concerns 7. Ability to develop, establish, implement, and maintain investigation processes on suspected or actual instances of noncompliance 	<ol style="list-style-type: none"> 1. Knowledge of the processes and controls for the CMS implementation 2. Knowledge of the processes used to control the outsourced operations relevant to the CMS 3. Knowledge of the criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers 4. Knowledge of the implementation of controls for the procurement, operational, commercial, and other non-financial aspect of a contract with third parties 5. Knowledge of the compliance controls and procedures that facilitate achieving compliance obligations 6. Knowledge of the procedures needed to support compliance management 7. Knowledge of the code of conduct and its developing process 8. Knowledge of the types of codes of conduct 9. Knowledge of the ways on how to communicate a code of conduct throughout the organization 10. Knowledge of the reporting procedures and employees' rights to use them 11. Knowledge of the investigation processes and their impact on the CMS

Domain 5: Monitoring and measurement of a CMS based on ISO 37301

Main objective: Ensure that the candidate is able to monitor and measure the performance of a CMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to monitor and evaluate the effectiveness of a CMS 2. Ability to verify to what extent the identified CMS objectives have been met 3. Ability to define and implement a CMS internal audit program 4. Ability to perform regular and methodical reviews to ensure the suitability, adequacy, effectiveness, and efficiency of a CMS based on the policies and objectives of the organization 5. Ability to define and perform a management review process 	<ol style="list-style-type: none"> 1. Knowledge of the best practices and techniques used to monitor and evaluate the effectiveness of a CMS 2. Knowledge of the concepts related to measurement and evaluation 3. Knowledge of the main concepts and components related to the implementation and operation of a CMS internal audit program 4. Knowledge of the difference between a major and a minor nonconformity 5. Knowledge of the guidelines and best practices to draft a nonconformity report 6. Knowledge of the best practices used to perform management reviews 7. Knowledge of the management review outputs

Domain 6: Continual improvement of a CMS based on ISO 37301

Main objective: Ensure that the candidate is able to provide guidance on the continual improvement of a CMS

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to track and take action on nonconformities2. Ability to identify and analyze the root causes of nonconformities, and propose action plans to treat them3. Ability to counsel an organization on how to continually improve the effectiveness and efficiency of a CMS4. Ability to implement continual improvement processes in an organization5. Ability to determine the appropriate tools to support the continual improvement processes of an organization	<ol style="list-style-type: none">1. Knowledge of the main processes, tools, and techniques used to identify the root causes of nonconformities2. Knowledge of the treatment of nonconformities process3. Knowledge of the main processes, tools, and techniques used to develop corrective action plans4. Knowledge of the main concepts related to continual improvement5. Knowledge of the processes related to the continual monitoring of change factors6. Knowledge of the maintenance and improvement of a CMS

Domain 7: Preparation for a CMS certification audit

Main objective: Ensure that the ISO 37301 Lead Implementer candidate is able to prepare an organization for the certification against ISO 37301

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the main steps, processes, and activities related to the ISO 37301 certification audit 2. Ability to understand, explain, and illustrate the audit evidence approach in a CMS audit 3. Ability to counsel an organization to identify and select a certification body that meets their expectations 4. Ability to determine whether an organization is ready and prepared for the ISO 37301 certification audit 5. Ability to train and prepare an organization’s personnel for the ISO 37301 certification audit 6. Ability to argue and challenge the audit findings and conclusions with external auditors 	<ol style="list-style-type: none"> 1. Knowledge of the evidence-based approach to an audit 2. Knowledge of the types of audit and their differences 3. Knowledge of the differences between Stage 1 and Stage 2 audits 4. Knowledge of the Stage 1 audit requirements, steps, and activities 5. Knowledge of the documented information review criteria 6. Knowledge of the Stage 2 audit requirements, steps, and activities 7. Knowledge of the audit follow-up requirements, steps, and activities 8. Knowledge of the surveillance audits and recertification audit requirements, steps, and activities 9. Knowledge of the requirements, guidelines, and best practices for developing action plans following an ISO 37301 certification audit



Based on the abovementioned domains and their relevance, 80 questions are included in the exam, as summarized in the table below:

		Level of understanding (Cognitive/Taxonomy) required			
		Number of questions/points per competency domain	% of the exam devoted/points to/for each competency domain	Questions that measure comprehension, application, and analysis	Questions that measure synthesis and evaluation
Competency domains	Fundamental principles and concepts of a compliance management system (CMS)	8	10	X	
	Initiation of a CMS implementation	12	15	X	
	Planning of a CMS implementation based on ISO 37301	20	25		X
	Implementation of a CMS based on ISO 37301	15	18.75	X	
	Monitoring and measurement of a CMS based on ISO 37301	10	12.5		X
	Continual improvement of a CMS based on ISO 37301	8	10		X
	Preparation for a CMS certification audit	7	8.75		X
Total		80	100%		
Number of questions per level of understanding				35	45
% of the exam devoted to each level of understanding (cognitive/taxonomy)				43.75%	56.25%

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

After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO 37301 Lead Implementer” credential depending on their level of experience.

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.

If requested on the day of the exam (paper-based exams), additional time can be provided to candidates taking the exam in a non-native language, as follows:

- 10 additional minutes for Foundation exams
- 20 additional minutes for Manager exams
- 30 additional minutes for Lead exams

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 candidate's understanding on many subjects, including both simple and complex concepts. When answering these questions, candidates will have to apply various principles, analyze problems, evaluate alternatives, combine several concepts or ideas, etc. The multiple-choice questions are scenario based, which means they are developed based on a scenario that candidates are asked to read and are expected to provide answers to one or more questions related to that scenario. This multiple-choice exam is "open book", due to the context-dependent characteristic of the questions. You will find a sample of exam questions provided below.

Since the exam is "open book," candidates are authorized to use the following reference materials:

- A hard copy of the ISO 37301 standard
- Training course materials (accessed through PECB Exams app and/or printed)
- Any personal notes during the training course (accessed through the PECB Exams app and/or printed)
- A hard copy dictionary

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

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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.

Note: PECB will progressively transition to multiple-choice exams. They will also be open book and comprise scenario-based questions that will allow PECB to evaluate candidates' knowledge, abilities, and skills to use information in new situations (apply), draw connections among ideas (analyze), and justify a stand or decision (evaluate). All PECB multiple-choice exams have one question and three alternatives, of which only one is correct.

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

Sample Exam Questions

- 1. Who should approve the compliance policy?**
 - A. **The governing body**
 - B. The compliance function
 - C. Middle management
- 2. Which technique can be used to analyze the organization's context?**
 - A. Gap analysis
 - B. RACI matrix
 - C. **PEST analysis**
- 3. Can the CMS scope be changed once it has been determined?**
 - A. Yes, whenever the top management wants to change it
 - B. **Yes, but any change must be evaluated, approved, and documented**
 - C. No, the CMS scope cannot be change at any case
- 4. According to ISO 37301, who is responsible for assigning responsibilities and authorities for relevant roles related to the CMS?**
 - A. The HR manager
 - B. **The governing body and top management**
 - C. The compliance function
- 5. How does ISO 37301 define *compliance objectives*?**
 - A. Specified ways to carry out an activity or a process
 - B. Behaviors and practices that impact outcomes for customers, employees, suppliers, markets, and communities
 - C. **Requirements that an organization mandatorily has to comply with, as well as those that an organization voluntarily chooses to comply with**

Receiving the Exam Results

Exam results will be communicated via email. The only possible results are *pass* and *fail*; no specific grade will be included.

- The time span for the communication starts from the exam date and lasts two to four weeks for multiple-choice paper-based exams.

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- 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 certification scheme.

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 certification credential is maintaining the security and confidentiality of the exam. PECB relies upon the ethical behavior of certification 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.

Reschedule the Exam

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

Apply for Certification

All candidates who successfully pass the exam (or an equivalent accepted by PECB) are entitled to apply for the PECB credentials they were examined for. Specific educational and professional requirements need to be fulfilled in order to obtain a PECB certification. Candidates are required to fill out the online certification application form (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. Candidates can submit their

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application in various languages. Candidates can choose to either pay online or be billed. For additional information, contact certification@pecb.com.

The online certification 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 certification

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

The application is approved as soon as the Certification Department validates that the candidate fulfills all the certification 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 certification from their PECB Account.

PECB provides support in both English and French.

Renew your Certification

PECB certifications are valid for three years. To maintain them, candidates must demonstrate every year that they are still performing tasks that are related to the certification. PECB certified professionals must annually provide Continual Professional Development (CPD) credits and pay \$100 as the Annual Maintenance Fee (AMF) to maintain the certification. For more information, please visit the [Certification Maintenance](#) page on the PECB website.

Closing a Case

If candidates do not apply for certification within three years, their case will be closed. Even though the certification 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: CERTIFICATION REQUIREMENTS

ISO 37301 Lead Implementer

The requirements for PECB ISO 37301 Implementer certifications are:

Credential	Exam	Professional experience	MS project experience	Other requirements
PECB Certified ISO 37301 Provisional Implementer	PECB Certified ISO 37301 Lead Implementer exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO 37301 Implementer	PECB Certified ISO 37301 Lead Implementer exam or equivalent	Two years: One year of work experience in compliance management	Project activities: a total of 200 hours	Signing the PECB Code of Ethics
PECB Certified ISO 37301 Lead Implementer	PECB Certified ISO 37301 Lead Implementer exam or equivalent	Five years: Two years of work experience in compliance management	Project activities: a total of 300 hours	Signing the PECB Code of Ethics
PECB Certified ISO 37301 Senior Lead Implementer	PECB Certified ISO 37301 Lead Implementer exam or equivalent	Ten years: Seven years of work experience in compliance management	Project activities: a total of 1,000 hours	Signing the PECB Code of Ethics

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

1. Drafting the CMS plan
2. Initiating the CMS implementation
3. Implementing the CMS
4. Managing, monitoring, and maintaining the CMS
5. Identifying and acting upon continual improvement opportunities

SECTION IV: CERTIFICATION RULES AND POLICIES

Professional References

For each application, two professional references are required. They must be from individuals who have worked with the candidate in a professional environment and can validate their compliance project experience, as well as their current and previous work history. Professional references of persons who fall under the candidate's supervision or are their relatives are not valid.

Professional Experience

Candidates must provide complete and correct information regarding their professional experience, including job title(s), start 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 for each job. More detailed information can be included in the résumé.

CMS Project Experience

The candidate's CMS project log will be checked to ensure that the candidate has the required number of implementation hours.

Evaluation of Certification Applications

The Certification Department will evaluate each application to validate the candidate's eligibility for certification. 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 its downgrade to a lower credential.

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

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

The application payment for the certification is non-refundable.

Suspension of Certification

PECB can temporarily suspend certification if the candidate fails to satisfy the requirements. Other reasons for suspending certification include:

- PECB receives large amounts of or serious complaints by interested parties (Suspension will be applied until the investigation has been completed.).
- The logos of PECB or accreditation bodies are intentionally misused.
- The candidate fails to correct the misuse of a certification mark within the time frame determined by PECB.
- The certified individual has voluntarily requested a suspension.
- PECB deems appropriate other conditions for suspension of certification.

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Revocation of Certification

PECB can revoke certification if the candidate fails to fulfill the PECB requirements. Candidates are then no longer allowed to represent themselves as PECB certified professionals. Other reasons for revoking certification can be if candidates:

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

Upgrade of Credentials

Professionals can apply to upgrade to a higher credential as soon as they can demonstrate that they fulfil the requirements.

In order to apply for an upgrade, candidates need to login in to their PECB Account, visit the “My Certifications” tab, and click on the “Upgrade” link. The upgrade application fee is \$100.

Downgrade of Credentials

A PECB Certification can be downgraded to a lower credential due to the following reasons:

- The AMF has not been paid.
- The CPD hours have not been submitted.
- Insufficient CPD hours have been submitted.
- Evidence on CPD hours has not been submitted upon request.

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

Other Statuses

Besides being active, suspended, or revoked, a certification can be voluntarily withdrawn or designated as Emeritus. More information about these statuses and the permanent cessation status, and how to apply, please visit [Certification Status Options](#).

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](#).

Other Exams and Certifications

PECB accepts certifications and exams 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 certification (e.g., ISO/IEC 27001 Lead Auditor certification).

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 certification 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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