



When Recognition Matters



EXAM PREPARATION GUIDE

PECB Certified ISO 19600 Lead Compliance Manager

The objective of the “PECB Certified ISO 19600 Lead Compliance Manager” exam is to ensure that the candidate possesses the necessary expertise to establish, develop, implement, evaluate, maintain and improve a Compliance Management System based on the guidelines provided in the ISO 19600 standard.

The ISO 19600 Lead Compliance Manager exam is intended for:

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

The exam covers the following competency domains:

- **Domain 1:** Compliance management process steps and framework
- **Domain 2:** Establishing a compliance management system
- **Domain 3:** Implementing a compliance management system
- **Domain 4:** Evaluating the compliance management system
- **Domain 5:** Maintaining the compliance management system

The content of the exam is divided as follows:

Domain 1: Compliance management process steps and framework

Main objective: Ensure that the ISO 19600 Lead Compliance Manager candidate understands and is able to interpret and illustrate the ISO 19600 Compliance Management concepts related to a Compliance Management System (CMS)

Competencies	Knowledge statements
<ol style="list-style-type: none">1. Ability to understand the development of ISO 19600.2. Ability to understand the main compliance function.3. Ability to establish ISO 19600 framework4. Ability to understand the main benefits of ISO 19600.	<ol style="list-style-type: none">1. Knowledge of the main guidelines for ISO 19600 standards.2. Knowledge of a compliance management system flowchart.3. Knowledge on the main compliance function and the challenges of being compliant.4. Knowledge on the methodology and steps used to conduct ISO 19600 standard and its framework.5. Knowledge on the main benefits of a CMS based on the ISO 19600.

Domain 2: Establishing a compliance management system

Main objective: Ensure that the ISO 19600 Lead Compliance Manager candidate can contribute in the establishment of a compliance management system, and is able to manage compliance, as recommended by ISO 19600.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the main ISO 19600 recommendations. 2. Ability to understand and implement a CMS methodology and approach. 3. Ability to understand the mission and values of ISO 19600. 4. Ability to establish the external and internal environment. 5. Ability to identify and manage the interested parties and stakeholders. 6. Ability to establish the main CMS objectives. 7. Ability to understand the gap analysis. 8. Ability to conduct relevant interviews. 9. Ability to understand the role of the leadership during the CMS project. 10. Ability to assign the CMS project team. 11. Ability to identify the main resources needed to implement the CMS project. 12. Ability to define CMS components and management approval for the project. 13. Ability to define the CMS scope and boundaries. 14. Ability to understand the compliance policy based on ISO 19600. 15. Ability to conduct trainings regarding the communication of CMS policy. 16. Ability to control, evaluate and review the CMS policy. 17. Ability to identify compliance obligations and maintenance of compliance obligation. 18. Ability to define the risk criteria. 19. Ability to identify risks. 20. Ability to analyze risks. 21. Ability to evaluate risks. 	<ol style="list-style-type: none"> 1. Knowledge of the ISO 19600 recommendations and compliance management systems. 2. Knowledge of the CMS implementation approach and main application guidelines. 3. Knowledge of the missions and values of an organization in implementing a CMS. 4. Knowledge of the key interested parties and stakeholders involved in the CMS establishment. 5. Knowledge of the management of interested parties. 6. Knowledge of the main structure of the compliance objectives. 7. Knowledge of the main differences between the current compliance controls and ISO 19600 guidelines. 8. Knowledge of conducting individual and group interviews in order to reach a better understanding of risk assessment. 9. Knowledge of the leadership roles when implementing CMS project and benefits of good leadership. 10. Knowledge on how to assign the CMS project team. 11. Knowledge of the main resources needed to establish the CMS project. 12. Knowledge of the main components used to implement the CMS project plan. 13. Knowledge of the authorization of the management in order to implement the CMS. 14. Knowledge on how to define the scope and boundaries related to compliance management systems. 15. Knowledge on the changes affecting the scope. 16. Knowledge on the establishment of compliance policy based on ISO 19600 guidelines. 17. Knowledge on the structure of the policy and main types of policies. 18. Knowledge of the trainings kept in order to communicate the importance of the policy and

	<p>raise awareness regarding the CMS policy.</p> <ol style="list-style-type: none">19. Knowledge of the compliance obligations, requirements and maintenance or controlling if the obligations have been met.20. Knowledge on how to identify the assets, risk sources, risk events, the existing measures to mitigate risk, and the consequences that might happen if the risk occurs.21. Knowledge of the methods to assess the risk consequences, incident likelihood, and the level of risk determination based on ISO 31000.22. Knowledge on how to evaluate the identified and analyzed risks based on risk evaluation criteria.
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Domain 3: Implementing a compliance management system

Main objective: Ensure that the ISO 19600 Lead Compliance Manager candidate can understand and implement a compliance management system based on the guidelines provided in ISO 19600 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to assign and communicate roles and responsibilities for the compliance function. 2. Ability to identify the lead compliance manager. 3. Ability to establish a compliance function. 4. Ability to establish a reporting and complaint handling process. 5. Ability to identify and control the resources. 6. Ability to establish training processes for CMS implementation. 7. Ability to establish awareness programs regarding compliance culture. 8. Ability to establish communication objectives. 9. Ability to plan and perform communication activities and strategies. 10. Ability to understand the importance of CMS documentation. 11. Ability to ensure control and adequacy of the CMS documentation and records. 12. Ability to design the needed processes to meet the compliance obligations. 13. Ability to define the main process objectives for CMS. 14. Ability to establish controls and procedures. 	<ol style="list-style-type: none"> 1. Knowledge of the main roles and responsibilities of governing body and top management. 2. Knowledge on how to assign and communicate the roles and responsibilities to employees. 3. Knowledge on the establishment of a compliance function and main duties. 4. Knowledge of the establishment of reporting mechanism from the employees in case of any nonconformity. 5. Knowledge on the establishment of complaint handling processes in case of any customer dissatisfaction. 6. Knowledge on the provision of the resources and identification of the needed resources for CMS implementation. 7. Knowledge on the control of the resources, to ensure that sufficient resources are available and meet the project objectives. 8. Knowledge on the competence of employees and their knowledge regarding CMS. 9. Knowledge of the establishment of necessary trainings for the competent people. 10. Knowledge on the evaluation of the outcome of the training. 11. Knowledge on the awareness programs organized from the top management in order to encourage compliance and compliance culture. 12. Knowledge on establishing necessary communication objectives covering the CMS importance. 13. Knowledge on the establishment of necessary communication activities in order to ensure that the compliance message is understood by all. 14. Knowledge on how to evaluate the communication and ensure that all the necessary points are communicated to employees. 15. Knowledge of the CMS documentation and creation of templates for the compliance policy, objectives, compliance plans etc. 16. Knowledge on the control of the documented information in order to ensure that documents and records are kept as per recommendations of ISO 19600. 17. Knowledge of the products/services needed to meet the compliance obligations.

	18. Knowledge of the controls and procedures put in place to manage the identified compliance obligations.
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Domain 4: Evaluating the compliance management system

Main objective: Ensure that the ISO 19600 Lead Compliance Manager candidate can understand and evaluate a compliance management system based on the guidelines provided in ISO 19600 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the measurement objectives. 2. Ability to develop compliance management indicators. 3. Ability to identify the documentation indicators and compliance management dashboard. 4. Ability to understand the differences between internal and external audit. 5. Ability to create an audit procedure. 6. Ability to create nonconformity follow-up activities. 7. Ability to perform regular and systematic reviews regarding the suitability, adequacy, effectiveness and efficiency of CMS. 	<ol style="list-style-type: none"> 1. Knowledge of the methods and ways of monitoring, measurement and evaluation of CMS. 2. Knowledge of the main CMS performance indicators. 3. Knowledge on the examples of the dashboard. 4. Knowledge of the ways of reporting the results. 5. Knowledge of the main characteristics of internal and external audit and their main differences. 6. Knowledge of the ISO 19600 guidelines for audit programme and its characteristics. 7. Knowledge on the creation of an internal audit programme and audit activities. 8. Knowledge on the creation of an audit procedure. 9. Knowledge of the activities conducted to follow-up any possible nonconformity. 10. Knowledge on the definition of the management reviews and the activities involved in management reviews.

Domain 5: Maintaining the compliance management system

Main objective: Ensure that the ISO 19600 Lead Compliance Manager candidate can manage a compliance management system based on the guidelines provided in ISO 19600 standard.

Competencies	Knowledge statements
<ol style="list-style-type: none"> 1. Ability to understand the root-cause to any nonconformity regarding CMS. 2. Ability to define the corrective and preventive action procedure. 3. Ability to ensure that CMS objectives are kept aligned with the business objectives. 4. Ability to ensure that the plans and procedures are continuously up-to-date. 	<ol style="list-style-type: none"> 1. Knowledge of the guidelines on nonconformity based on ISO 19600. 2. Knowledge on the example and process of resolving problems and nonconformities. 3. Knowledge of the root-cause analysis tool. 4. Knowledge of the corrective action procedure. 5. Knowledge of the preventive action procedure and its main elements. 6. Knowledge on drafting an action plan. 7. Knowledge on the need to continually monitor the process of change factors. 8. Knowledge on the maintenance and improvement of the CMS. 9. Knowledge on the necessity to continually improve and update the documentation and records.

Based on these 5 domains and their relevance, 12 questions are included in the exam, as summarized in the following table:

		Level of Understanding (Cognitive/Taxonomy) Required		Number of questions per competency domain	% of test devoted to each competency domain	Number of points per competency domain	% of points per competency domain	
		Points per question	Questions that measure comprehension, application and analysis					Questions that measure synthesis and evaluation
Competency/Domains	Compliance management process steps and framework	5	X	1	8.33	5	6.67	
	Establishing a compliance management system	5	X	2	16.67	15	20.00	
		10						X
	Implementing a compliance management system	10	X	4	33.32	25	33.32	
		5						X
		5	X					
		5						X
	Evaluating the compliance management system	5		2	16.67	15	20.00	
		10						X
	Maintaining the compliance management system	5	X	3	25.00	15	20.00	
		5						X
		5	X					
Total points		75						
Number of questions per level of understanding			6	6				
% of Test devoted to each level of understanding (cognitive/taxonomy)			50	50				

The passing score is established at **70%**.

After successfully passing the exam, candidates will be able to apply for the “PECB Certified ISO 19600 Lead Compliance Manager” credential, depending on their level of experience.

TAKE A CERTIFICATION EXAM

Candidates will be required to arrive at least thirty (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 entry to 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 exam duration is three (3) hours. Non-native speakers receive an additional thirty (30) minutes.

The exam contains essay type questions: This type of format was selected as a means of determining whether an examinee can clearly answer training related questions, by assessing problem solving techniques and formulating arguments supported with reasoning and evidence. The exam is set to be “open book”, and does not measure the recall of data or information. The examination evaluates the candidates’ comprehension, application and analyzing skills. Therefore, candidates will have to justify their answers by providing concrete explanations as to demonstrate that they have been capable of understanding the training concepts. At the end of this document, you will find samples of exam questions and potential answers.

As the exam is “open book”; candidates are authorized to use:

- A copy of the ISO 19600 standard,
- Course notes from the Participant Handout,
- Any personal notes made by the student during the course, and
- A hard copy dictionary.

The use of electronic devices, such as laptops, cell phones, etc., is not allowed.

All attempts to copy, collude or otherwise cheat during the exam will automatically lead to the failure of the exam.

PECB exams are available in English. For availability of the exam in a language other than English, please contact examination@pecb.com.

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.

Candidates who successfully complete the examination will be able to apply for a certified scheme.

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 exam.

Candidates who disagree with the exam results may file a complaint by writing to examination@pecb.com. For more information, please refer to www.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 applies.

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

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 fee applies.

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.

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.

SAMPLE EXAM QUESTIONS AND POSSIBLE ANSWER

Question 1:

Controls are very helpful and should be conducted in order to manage the identified compliance obligations and any related compliance risk. Please list at least five examples of controls that could be used to ensure conformity to **clause 8.2** of ISO 19600.

Possible answer:

- Automated processes;
- Employee performance reports and plans;
- Compliance evaluations;
- Active and on-going communication regarding expected employee behavior;
- Documentation of the operating procedures and policies.

Question 2:

ISO 19600 states that the compliance policy should be appropriate to the purpose of the organization. Please explain what the compliance policy should include in order to be an adequate and completed policy.

Possible answer:

The compliance policy should include and communicate:

- The scope of the compliance management system;
- The main responsibilities of managing and reporting the issues related to compliance;
- The main consequences arising from non-compliance acts;
- The extent of compliance integration to other functions like audit, legal and such.