PECB

EXAM PREPARATION GUIDE

PECB Certified ISO 26000 Lead Implementer

The objective of the "PECB Certified ISO 26000 Lead Implementer" examination is to ensure that the candidate has the knowledge and the skills to support an organization in implementing socially responsible behavior based on ISO 26000:2010.

The target population for this examination is:

- Project managers or consultants wanting to prepare and to support an organization in implementing socially responsible behavior based on ISO 26000
- Social Responsibility auditors who wish to fully understand the implementation process of socially responsible behavior in an organization
- Managers responsible for the Social Responsibility of an enterprise
- Members of a Social Responsibility team
- Expert advisors in Social Responsibility
- Experts wanting to prepare for a Social Responsibility function or for a Social Responsibility project function

The exam content covers the following domains:

- Domain 1: Fundamental Principles and Concepts in Social Responsibility
- Domain 2: Social Responsibility Best Practices based on ISO 26000
- Domain 3: Planning a SR Framework Based on ISO 26000
- Domain 4: Implementing a SR Framework based on ISO 26000
- Domain 5: Performance Evaluation, Monitoring and Measurement of an SR Framework based on ISO 26000
- Domain 6: Continual Improvement of an SR Framework Based on ISO 26000
- Domain 7: Preparation for an SR Assessment

The content of the exam is divided as follows:

Domain 1: Fundamental Principles and Concepts in Social Responsibility

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can understand, interpret and illustrate the main Social Responsibility concepts related to Social Responsibility (SR).

Competencies	Knowledge statements
1. Understand and explain the operations of the ISO organization and the development of Social Responsibility behavior.	1. Knowledge of the application of the seven core subjects of Social Responsibility.
2. Ability to identify, analyze and evaluate the Social Responsibility guidances for an organization.	2. Knowledge of the main standards in Social Responsibility Management.
3. Ability to explain and illustrate the main subjects of Social Responsibility.	3. Knowledge of the different sources of Social Responsibility guidance for an organization: laws, regulations, international and industry standards, contracts, market practices, internal policies.
4. Ability to understand relationship between different guidances on social responsibility.	4. Knowledge of the main Social Responsibility concepts and terminology as described in ISO 26000.

Domain 2: Social Responsibility Best Practices Based on ISO 26000

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can understand, interpret and illustrate the main concepts and components of a Social Responsibility based on ISO 26000.

Competencies	Knowledge statements

1. Understand and explain the components of a Social Responsibility based on ISO 26000 and its principal processes.
 	
2. Ability to interpret and analyze ISO 26000 principles and core subjects.
 	
3. Understand, explain and illustrate the main steps to establish, implement, operate, monitor, review, maintain and improve SR in an organization.
	1. Knowledge of the concepts, principles and terminology related to Social Responsibility based on ISO 26000.
	2. Knowledge of the principal characteristics of an integrated.
	3. Knowledge of the main advantages of following guidance of ISO 26000.
	4. Knowledge of ISO 26000 principles:
	    Legal compliance
	    Respect for internationally recognized instruments
	    Recognition of stakeholders and their concerns
	    Accountability
	    Transparency
	    Sustainable development
	    Ethical conduct
	    Precautionary approach
	    Respect for fundamental human rights
	    Respect for diversity.
	5. Knowledge of the ISO 26000 core subjects:
	    6.3 Human rights
	    6.4 Labour practices
	    6.5 The environment
	    6.6 Fair operating practices
	    6.7 Consumer issues
	    6.8 Community involvement and development.
	6. Knowledge of the main steps to establish the SR objectives, processes and procedures relevant to managing and improving Social Responsibility Management to deliver results in accordance with an organization's overall policies and objectives (Awareness level).
	7. Knowledge of the concept of continual improvement and its application to an SR.

Domain 3: Planning an SR Framework Based on ISO 26000

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can plan the implementation of an SR.

Competencies	Knowledge statements
1. Ability to manage an SR implementation project following project management best practices.	1. Knowledge of the main project management concepts, terminology, process and best practice as described in ISO 10006.
2. Ability to gather, analyze and interpret the necessary information to plan the SR implementation.	2. Knowledge of the principal approaches and methodology frameworks to implement an SR.
3. Ability to observe, analyze and interpret the external and internal environment of an organization.	3. Knowledge of the main concepts and terminology related to organizations.
4. Ability to perform a gap analysis and clarify the Social Responsibility objectives of an organization.	4. Knowledge of an organization's external and internal environment.
5. Ability to state and justify an SR scope adapted to the security objectives of a specific organization.	5. Knowledge of the main interested parties related to an organization and their characteristics.
6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization.	6. Knowledge of techniques to gather information on an organization and to perform a gap analysis of a management system.
	7. Knowledge of the characteristics of an SR scope in terms of organizational, technological and physical boundaries.

Domain 4: Implementing an SR Framework Based on ISO 26000

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can implement the processes of an SR based on guidance, principles and subjects of ISO 26000.

Competencies	Knowledge statements
1. Ability to understand, analyze needs and provide guidance on the attribution of roles and responsibilities in the context of the implementation and management of an SR.	1. Knowledge of the roles and responsibilities of the key actors during the implementation of an SR and in its operation after the end of the implementation project.
2. Ability to define the document and record management processes needed to support the implementation and the operations of an SR.	2. Knowledge of the main organizational structures applicable for an organization to manage Social Responsibility.
3. Ability to define and design processes and document them.	3. Knowledge of the best practices on document and record management processes and the document management life cycle.
4. Ability to define and write a Social Responsibility policies & procedures.	4. Knowledge of the characteristics and the differences between the different documents related to SR: policy, procedure, guideline, standard, baseline, worksheet, etc.
5. Ability to implement the required processes of an SR.	5. Knowledge of model-building processes techniques and best practices.
6. Ability to define and implement appropriate Social Responsibility training, awareness and communication plans.	6. Knowledge of techniques and best practices to write Social Responsibility Management policies, procedures and others types of documents include in an SR.
7. Ability to transfer an SR project to operations and manage the change management process.	7. Knowledge of the characteristics and the best practices to implement Social Responsibility training, awareness and communication plans.
	8. Knowledge of change management techniques best practices.

Domain 5: Performance Evaluation, Monitoring and Measurement of an SR Framework Based on ISO 26000

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can evaluate, monitor and measure the performance of an SR in the context of an ISO 26000.

Competencies	Knowledge statements
1. Ability to monitor and evaluate the effectiveness of an SR in operation.	1. Knowledge of the techniques and best practices to monitor the effectiveness of an SR.
2. Ability to verify the extent to which the internal written policies and procedures in regard to SR have been met.	2. Knowledge of the main concepts and components related to a Social Responsibility Measurement Programme: measures, attributes, indicators, dashboard, etc.
3. Ability to define and implemented an internal audit program for ISO 26000.	3. Knowledge of the characteristics and the differences between an operational, tactical and strategic Social Responsibility indicators and dashboard.
4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an SR with policies and objectives of an organization.	4. Knowledge of the techniques and methods to define and document adequate and reliable indicators.
5. Ability to define and implement a management review process and counsel management on it.	5. Knowledge of the main concepts and components related to the implementation and operation of an SR internal audit program.
	6. Knowledge of the differences between the concepts of major nonconformity, minor nonconformity, anomaly and observation.
	7. Knowledge of the guidelines and best practices to write nonconformity report.
	8. Knowledge of the best practices on how to perform management reviews.

Domain 6: Continual Improvement of an SR framework Based on ISO 26000

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can provide guidance on the Continual improvement of an SR in the context of ISO 26000.

Competencies	Knowledge statements
1. Ability to understand the principle and concepts related to continual improvement.	1. Knowledge of the main concepts related to continual improvement.
2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of an SR.	2. Knowledge of the characteristics and the difference between the concept of effectiveness and the efficiency.
3. Ability to implement SR continual improvement processes in an organization.	3. Knowledge of the concept and techniques to perform a benchmarking.
4. Ability to determine the appropriate business improvement tools to support continual improvement processes of a specific organization.	4. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities.
5. Ability to identify, analyze the root-causes of nonconformities and proposed action plans to treat them.	5. Knowledge of the characteristics and the difference between corrective actions and preventive actions.
6. Ability to identify, analyze the root-cause of potential nonconformities and proposed action plans to treat them.	6. Knowledge of the main processes, tools and techniques used by professionals to develop and proposed the best corrective and preventive action plans.

Domain 7: Preparation for an SR Assessment

Main objective: To ensure that the ISO 26000 Lead Implementer candidate can prepare and assist an organization in SR assessment.

Competencies	Knowledge statements
1. Ability to understand the main steps processes and activities related to ISO 26000. 2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 26000. 3. Ability to review the readiness of an organization for a ISO 26000 assessment 4. Ability to coach and prepare the personnel of an organization for an ISO 26000 assessment. 5. Ability to argue and challenge the assessment findings and conclusions with auditors.	1. Knowledge of evidence based approach in an audit. 2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal. 3. Knowledge of follow-up audit requirements, steps and activities. 4. Knowledge of the principles and 7 core subjects and best practice to develop action plans following an ISO 26000 review.

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

		Points per Question	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 competency domain
			Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation				
Competency Domains	Fundamental principles and concepts in Social Responsibility	5	x					
		5	x		2	16.67	10	13.33
	Social Responsibility best practices based on ISO 26000	5	x					
		10	x					
		10	x		3	25.00	25	33.33
	Planning a SR framework based on ISO 26000	5		x	1	8.33	5	6.67
	Implementing a SR framework based on ISO 26000	5		x				
		5		x				
		5		x	3	25.00	15	20.00
	Performance evaluation, monitoring and measurement of a SR framework based on ISO 26000	10		x	1	8.33	10	13.33
	Continual improvement of a SR framework based on ISO 26000	5		x	1	8.33	5	6.67
	Preparation for a SR assessment	5		x	1	8.33	5	6.67
Total points		75						
Number of Questions per level of understanding			5	7				
% of Test Devoted to each level of understanding (cognitive/taxonomy)			41.67	58.33				

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

After successfully passing the exam, candidates will be able to apply for the credentials of PECB Certified ISO 26000 Lead Implementer, depending on their level of experience.

TAKE A CERTIFICATION EXAM

Candidates will be required to arrive at least thirty (30) minutes before the beginning of the certification exam. Candidates arriving late will not be given additional time to compensate for the late arrival and may be denied entry to the exam room (if they arrive more than 5 minutes after the beginning of the exam scheduled time).

All candidates will need to present a valid identity card with a picture such as a driver's license or a government ID to the invigilator.

The exam duration is three (3) hours.

The questions are essay type questions. This type of format was chosen because the intent is to determine whether an examinee can write a clear coherent answer/argument and to assess problem solving techniques. Because of this particularity, the exam is set to be "open book" and does not measure the recall of data or information. The examination evaluates, instead, comprehension, application, analysis, synthesis and evaluation, which mean that even if the answer is in the course material, candidates will have to justify and give explanations, to show they really understood the concepts. At the end of this document, you will find sample exam questions and their possible answers.

As the exams are "open book"; candidates are authorized to use the following reference materials:

- A copy of the ISO 26000:2010 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 attempt to copy, collude or otherwise cheat during the exam will automatically lead to the exam's failure.

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 in a period of 6 to 8 weeks, after taking the exam. The results will not include the exact grade of the candidate, only a mention of pass or fail.

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

In the case of a failure, the results will be accompanied with the list of domains in which the candidate had a low grade, to provide guidance for exams' retake preparation.

Candidates who disagree with the exam results may file a complaint. 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 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 candidate to sit again for 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 FILES

Closing a file is equivalent to rejecting a candidate's application. As a result, when candidates request that their file be reopened, PECB will no longer be bound by the conditions, standards, policies, candidate handbook or exam preparation guide that were in effect before their file was closed.

Candidates who want to request that their file be reopened 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 behaviour 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, they violate 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 ANSWERS

1. Interpretation of ISO clauses

Based on the social responsibility core subjects of ISO 26000, an organization has defined internal requirements. Please provide at least two different action plans that would be acceptable to verify the implementation of the requirement.

- **6.4.6 Labour practices issue 4: Health and safety at work**

Possible answers:
- Communicate to workers the occupational health and safety policy and proper procedures
- Identify causes of safety incidents and implement actions to eliminate

2. Evaluation of corrective actions

You have received a plan for corrective actions. Evaluate the adequacy of the proposed corrective actions. If you agree with the corrective actions, explain why. If you disagree, explain why and propose what you think would be adequate corrective actions.

- **A nonconformity has been observed because in factory "X", foreign migrant workers are required to sign a contract which states that they cannot resign. (For example, doing so within 2 years would mean substantial fines equivalent to 3 months of work.)**

- **Corrective action: The contracts should immediately be revised and the clause removed. Workers should sign the revised contracts and be given a copy of the newly signed contracts. Termination of a contract should not result in a fine or a loss of previously earned wages. (Time frame: immediately)**

    Possible answers:

    I agree. This solves the problem. As auditor, a sampling will be performed during the surveillance audit to find out if the clause was removed and if new contracts are signed.