PECB

EXAM PREPARATION GUIDE

PECB ISO 30301 Lead Implementer

The objective of the "PECB Certified ISO 30301 Lead Implementer" examination is to ensure that the candidates have to develop the necessary expertise to support an organization in implementing and managing Management System for Records based on ISO 30301.

The target population for this examination is:

- Managers or consultants wanting to prepare and to support an organization in the implementation of a Management System for Records (MSR)
- Project Managers or consultants wanting to master the Management System for Records process
- Management of the organization who are responsible for the implementation of management systems within the organization
- Persons responsible for the records or conformity in an organization
- Staff involved in operations related to MSR

The exam content covers the following domains:

- Domain 1: Fundamental principles of information and documentation of MSR
- Domain 2: Operational planning and control best practices based on ISO 30301
- Domain 3: Planning the MSR based on ISO 30301
- Domain 4: Implementing a record system based on ISO 30301
- Domain 5: Performance evaluation, monitoring and measurement of a MSR based on ISO 30301
- Domain 6: Continual improvement of MSR based on ISO 30301
- Domain 7: Preparing for a MSR certification audit

The content of the exam is divided as follows:

Domain 1: Fundamental principles of information and documentation of MSR

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can understand, interpret and illustrate the main concepts of MSR.

Competencies	Knowledge statements
1. Understand and explain the operations of the ISO organization and the development of Records Management standards. 2. Ability to identify, analyze and evaluate the Management of Records compliance requirements for an organization. 3. Ability to explain and illustrate the main concepts for Management Systems for Records.	1. Knowledge of the application of the seven ISO management principles to Records Management 2. Knowledge of the main standards in Records Management. 3. Knowledge of the different sources of Management System for Records requirement for an organization: laws, regulations, international and industry standards, contractors, market practices and internal policies. 4. Knowledge of the main Management System for Records concepts and terminology as described in ISO 30301. 5. Knowledge of the difference between preventive, detective and corrective controls and their characteristics.

Domain 2: Operational planning and control best practices based on ISO 30301

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can understand interpret and provide guidance on how to implement and manage MSR requirements based on best practices of ISO 30301.

Competencies	Knowledge statements
1. Ability to identify, understand, classify and explain the clauses with requirements from ISO 30301. 2. Ability to detail and illustrate the requirements and best practices by concrete examples. 3. Ability to compare possible solutions to an organization and identify/analyze the strength and weakness of each solution. 4. Ability to select and demonstrate the best solution in order to address Management for Records objectives stated by the organization. 5. Ability to create and justify an action plan to implement Record Management by listing the activities related.	1. Knowledge of the ISO 3031 requirements. 2. Knowledge of the concepts, principles and terminology related to management systems and the "Plan-Do-Check-Act" (PDCA) model. 3. Knowledge of the principal characteristics of an integrated management system 4. Knowledge of the main advantages of a certification for an organization. 5. Knowledge of operational planning and control

Domain 3: Planning the MSR based on ISO 30301

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can plan the implementation of a MSR in preparation for an ISO 30301 certification.

Competencies	Knowledge statements
1. Ability to manage a MSR implementation project following project management best practices. 2. Ability to observe, analyze and interpret the external and internal environment of an organization. 3. Ability to perform a gap analysis and clarify the Management for Records objectives of an organization. 4. Ability to select and justify the selected approach and methodology adapted to the needs of the organization.	1. Knowledge of the main project management concepts, terminology, process and best practice as described in ISO 10006. 2. Knowledge of the principal approaches and methodologies, frameworks to implement a MSR. 3. Knowledge of an organization's external and internal environment 4. Knowledge of the main interested parties to an organization and their characteristics. 5. Knowledge of the characteristics of a MSR scope in terms of organizational, technological and physical boundaries. 6. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment. 7. Knowledge of the main activities of the risk identification, estimation, evaluation related to the assets included in the MSR of an organization 8. Knowledge of the main activities of the risk treatment related to the assets included in the MSR of an organization 9. Knowledge of the characteristics of a statement of applicability.

Domain 4: Implementing a MSR based on ISO 30301

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can implement the processes of a MSR required for an ISO 30301 certification.

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 a MSR.	1. Knowledge of the main organizational structures applicable for an organization to manage MSR.
2. Ability to define the document and record management processes needed to support the implementation and the operations of a MSR.	2. Knowledge of the best practices on document and report management processes and the document management life cycle
3. Ability to define and write a MSR policy & procedures.	3. Knowledge of the characteristics and the best practices to implement Management System for Records, awareness and communication plans.
4. Ability to define and design processes and document them.	4. Knowledge of the characteristics and the differences between the different documents related to MSR: policy, procedure, guideline, standard, baseline, worksheet, etc.
5. Ability to define and implement appropriate MSR training, awareness and communication plans.	5. Knowledge of the characteristics and main processes of management system for records based on best practices
6. Ability to implement the required processes of a MSR	6. Knowledge of the characteristics and main processes of MSR

Domain 5: Performance evaluation, monitoring and measurement of a MSR based on ISO 30301

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can evaluate, monitor and measure the performance of a MSR in the context of an ISO 30301 certification.

Competencies	Knowledge statements
1. Ability to monitor and evaluate the effectiveness of a MSR in operation	1. Knowledge of the techniques and best practices to monitor the effectiveness of a MSR
2. Ability to define and implement an internal audit program for ISO 30301	2. Knowledge of the main concepts and components related to a MSR programme
3. Ability to define and implement a management review process and counsel management on it	3. Knowledge of the characteristics and the differences between an operational, tactical and strategic MSR indicator and dashboard
4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of a MSR with policies and objectives of an organization	4. Knowledge of the main concepts and components related to the implementation and operation of a MSR internal audit programme
5. Ability to define and implement a management review process and counsel management on it.	5. Knowledge of the differences between the concepts of major nonconformity, minor nonconformity, anomaly and observation.
	6. Knowledge of the guidelines and best practices to write nonconformity report.
	7. Knowledge of the best practice on how to perform management reviews

Domain 6: Continual improvement of MSR based on ISO 30301

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can provide guidance on the continual improvement of a MSR in the context of ISO 30301.

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

Domain 7: Preparing for a MSR certification audit

Main objective: To ensure that the ISO 30301 Lead Implementer candidates can prepare and assist an organization for the certification of a MSR against the ISO 30301 standard.

Competencies	Knowledge statements
1. Ability to understand the main steps processes and activities related to an ISO 30301 certification audit 2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 30301 audit 3. Ability to review the readiness of an organization for an ISO 30301 certification audit 4. Ability to prepare personnel of an organization for an ISO 30301 certification audit 5. Ability to argue and challenge the audit findings and conclusions with external auditors	1. Knowledge of the 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 stage 1 audit requirements, steps and activities. 4. Knowledge of the documentation review criteria. 5. Knowledge of stage 2 audit requirements, steps and activities. 6. Knowledge of follow-up audit requirements, steps and activities. 7. Knowledge of the difference between stage 1 audit and stage 2 audit 8. Knowledge of surveillance audits and recertification audit requirements, steps and activities 9. Knowledge of the requirements, guidelines and best practices to develop action plans following an ISO 30301 certification audit.

Based on these seven domains and their relevance, 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 Domain	Fundamental principles of information and documentation of MSR	5	x		1	8.33	5	6.67
	Operational planning and control best practices based on ISO 30301	5	x		2	16.67	10	13.33
		5	x					
	Planning the MSR based on ISO 30301	10	x		2	16.67	15	20.00
		5	x					
	Implementing a record system based on ISO 30301	5	x		2	16.67	10	13.33
		5	x					
	Performance evaluation, monitoring and measurement of a MSR based on ISO 30301	10		x	3	25.00	20	26.67
		5		x				
		5		x				
	Continual improvement of MSR based on ISO 30301	10		x	1	8.33	10	13.33
	Preparing for a MSR certification audit	5		x	1	8.33	5	6.67
Total Points		75						
Number of questions per level of understanding			7	5				
% of test devoted to each level of understanding (cognitive/ taxonomy)			58.33	41.67				

The passing score is **70%.**

After successfully passing the exam, candidates will be able to apply for the credentials of "PECB Certified ISO 30301 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 30301 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 limitation on how many times a candidate can retake the same exam. However, there are some limitations in terms of allowed time-frame in between exams.

When candidates fail the examination, they are only allowed to retake the examination once within 12 months after the first attempt. If second examination is unsuccessful, candidates will be allowed to retake the exam only after 1 year (12 months). Retake fee applies.

Only candidates, who have completed a full PECB training but fail the written exam, are eligible to retake the exam for free, under one condition:

"A candidate can only retake the exam once and this retake must occur within 12 months from the initial exam's date."

When candidates fail the same examination for the second time, their file is automatically closed for 1 year.

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. Evidence in an audit

For each of the following clauses of the ISO 30301 standard, please provide at least two different evidences that would be acceptable to ensure conformity to the clause

10.1 Non conformity and corrective actions:

Possible answers:

- *Documented procedure defining how to identify corrective actions and how to treat them.*
- *List of corrective actions showing the responsible person, the status and the deadline for each corrective action.*

2. Development of metrics

For each of the following clauses of the ISO 30301 standard, please provide two examples of metrics that would be acceptable to measure the conformity to the clause.

9.3 Management Review

Possible answers:

- *Total of management review meetings completed according to the annual planning*
- *Average participation rates in management review meetings to date*

3. Recommendations

The management of the organization would like to receive recommendations from you to improve the processes in place to comply with the requirements of ISO 30301 on control of documentation.

Possible Answer:

1. *Document and implement a procedure for control of documents*
2. *Maintain a log for documents changes with records of approvals*
3. *Communicating the new process and organize training session*