

# Exam Preparation Guide

ISO 37001 LEAD IMPLEMENTER

## GENERAL

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The objective of the “PECB Certified ISO 37001 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 anti-bribery management system (ABMS).

### **The ISO 37001 Lead Implementer exam is intended for:**

- Managers or consultants involved or concerned with Anti-bribery Management
- Expert advisors seeking to master the implementation of an Anti-bribery Management System
- Individuals responsible for maintaining conformance with ABMS requirements
- ABMS team members

### **The exam covers the following competency domains:**

- **Domain 1:** Fundamental principles and concepts of the anti-bribery management system (ABMS)
- **Domain 2:** Anti-bribery management system (ABMS)
- **Domain 3:** Planning the ABMS implementation
- **Domain 4:** Implementing the ABMS
- **Domain 5:** Performance evaluation, monitoring and measurement of the ABMS
- **Domain 6:** Continual improvement of the ABMS
- **Domain 7:** Preparing for the ABMS certification audit

The content of the exam is divided as follows:

## Domain 1: Fundamental principles and concepts of the anti-bribery management system (ABMS)

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate understands, is able to interpret, and illustrate the main ISO 37001 concepts

Competencies	Knowledge statements
<ol style="list-style-type: none"><li>1. Ability to understand and explain the operations of the ISO organization and the development of Anti-bribery Management System standard</li><li>2. Ability to identify, analyze and evaluate the Anti-bribery Management compliance requirements for an organization</li><li>3. Ability to explain and illustrate the main concepts in Anti-bribery Management System</li></ol>	<ol style="list-style-type: none"><li>1. Knowledge of the application of the seven ISO management principles and their relationship to the Anti-bribery Management System</li><li>2. Knowledge of the main national laws related to anti-bribery</li><li>3. Knowledge of the main Anti-bribery Management System principles</li><li>4. Knowledge of the different source of Anti-bribery Management System requirement for an organization: laws, regulations, international and industry standards, contractors, market practices, internal policies</li><li>5. Knowledge of the main Anti-bribery Management concepts and terminology as described in ISO 37001</li><li>6. Knowledge of the differences between preventive, detective and corrective controls and their characteristics</li></ol>

## Domain 2: Anti-bribery management system (ABMS)

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate understands, is able to interpret, and provide guidance on how to implement and manage the anti-bribery management system requirements based on the best practices of ISO 37001

Competencies	Knowledge statements
<ol style="list-style-type: none"><li>1. Ability to identify, understand, classify and explain the clauses with requirements from ISO 37001</li><li>2. Ability to detail and illustrate the requirements and best practices by concrete examples</li><li>3. Ability to compare possible solutions to an Anti-bribery Management issue of an organization and identify/analyze the strength and weakness of each solution</li><li>4. Ability to select and demonstrate the best Anti-bribery Management solution in order to address Anti-bribery Management objectives set by the organization</li><li>5. Ability to create and justify an action plan to implement an Anti-bribery Management by listing the activities related</li><li>6. Ability to analyze, evaluate and validate action plans to implement a specific requirement</li></ol>	<ol style="list-style-type: none"><li>1. Knowledge of operational planning and control.</li><li>2. Knowledge on identifying and implementing requirements from ISO 37001</li><li>3. Knowledge on establishing and implementing anti-bribery policies, procedures and processes as required by ISO 37001</li><li>4. Knowledge on implementing network of interrelated elements including responsibilities, authorities, relationships, functions, activities, processes, practices, procedures, and resources</li><li>5. Knowledge on requirements that come from clause 4 to 10 of the ISO 37001</li><li>6. Knowledge on implementing and managing action plans to support ABMS implementation in an organization</li></ol>

## Domain 3: Planning the ABMS implementation

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate is able to plan the implementation of the ABMS required for an ISO 37001 certification

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to manage an ABMS implementation project following project management best practices</li> <li>2. Ability to assemble, analyze and interpret the necessary information to plan the ABMS implementation</li> <li>3. Ability to observe, analyze and interpret the external and internal environment of an organization</li> <li>4. Ability to perform a gap analysis and clarify the Anti-bribery Management objectives of an organization</li> <li>5. Ability to state and justify an ABMS scope adapted to the objectives of a specific organization</li> <li>6. Ability to select and justify the selected approach and methodology adapted to the needs of the organization</li> <li>7. Ability to perform the different steps of the risk assessment and risk treatment phases</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the main project management concepts, terminology, process and best practice as described in ISO 10006</li> <li>2. Knowledge of the principal approaches and methodology frameworks to implement an ABMS</li> <li>3. Knowledge of the main concepts and terminology related to organizations</li> <li>4. Knowledge of an organization's external and internal environment</li> <li>5. Knowledge of the main interested parties related to an organization and their characteristics</li> <li>6. Knowledge of techniques to assemble information on an organization and to perform a gap analysis of a management system</li> <li>7. Knowledge of the characteristics of an ABMS scope in terms of organizational and physical boundaries</li> <li>8. Knowledge of the different approaches and main methodology characteristics to perform a risk assessment</li> <li>9. Knowledge of the main activities of the risk identification, estimation, evaluation related to the personnel included in the ABMS of an organization</li> </ol>

## Domain 4: Implementing the ABMS

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate is able to implement the processes of the ABMS required for an ISO 37001 certification

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to understand, analyze the needs and provide guidance on the attribution of roles and responsibilities in the context of the implementation and management of an ABMS</li> <li>2. Ability to define the document and record management processes needed to support the implementation and operations of an ABMS</li> <li>3. Ability to define and design processes and document them</li> <li>4. Ability to establish Anti-bribery Management policies &amp; procedures</li> <li>5. Ability to implement the required processes of an ABMS</li> <li>6. Ability to define and implement appropriate Anti-bribery Management training, awareness and communication plans</li> <li>7. Ability to define and implement proportionate procedures based Anti-bribery Management best practices and principles</li> <li>8. Ability to transfer an ABMS project to operations and manage the change management process</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the roles and responsibilities of the key actors during the implementation of an ABMS and in its operation after the end of the implementation project</li> <li>2. Knowledge of the main organizational structures applicable for an organization to manage Anti-bribery Management</li> <li>3. Knowledge of the best practices on document and record management processes and the document management cycle</li> <li>4. Knowledge of the characteristics and the differences between the different documents related to the ABMS policy, procedures, guideline, standard, baseline and worksheet</li> <li>5. Knowledge of model-building controls and processes techniques and best practices</li> <li>6. Knowledge of controls and process deployment techniques and best practices</li> <li>7. Knowledge of techniques and best practices to establish Anti-bribery Management policies, procedures and others types of documents required by ISO 37001</li> <li>8. Knowledge of the characteristics of the best practices to implement Anti-bribery Management training, awareness and communication plans</li> <li>9. Knowledge of the characteristics of implemented proportionate procedures of an Anti-bribery Management System based on best practices and principles</li> <li>10. Knowledge of change management techniques</li> </ol>

## Domain 5: Performance evaluation, monitoring and measurement of the ABMS

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate is able to evaluate, monitor, and measure the performance of the ABMS

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to monitor and evaluate the effectiveness of an ABMS in operation</li> <li>2. Ability to verify the extent to which identified Anti-bribery Management requirements have been met</li> <li>3. Ability to define and implement an internal audit program for ISO 37001</li> <li>4. Ability to perform regular and methodical reviews regarding the suitability, adequacy, effectiveness and efficiency of an ABMS with policies and objectives of an organization</li> <li>5. Ability to define and implement a management review process and counsel management on it</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of the techniques and best practices to monitor the effectiveness of an ABMS</li> <li>2. Knowledge of the main concepts and components related to an Anti-bribery Management measurement programme: measures, attributes, indicators, dashboard, etc.</li> <li>3. Knowledge of the characteristics and the differences between an operational, tactical and strategic Anti-bribery Management indicators and dashboard</li> <li>4. Knowledge of the techniques and methods to define and document adequate and reliable indicators</li> <li>5. Knowledge of the main concepts and components related to the implementation and operation of an ABMS internal audit program</li> <li>6. Knowledge of the differences between the concepts of major nonconformity, minor nonconformity, anomaly and observation</li> <li>7. Knowledge of the guidelines and best practices to establish nonconformity reports</li> <li>8. Knowledge of the best practices on how to perform continual reviews</li> </ol>

## Domain 6: Continual improvement of the ABMS

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate is able to provide guidance on the continual improvement of the ABMS

<b>Competencies</b>	<b>Knowledge statements</b>
<ol style="list-style-type: none"><li>1. Ability to understand the principles and concepts related to continual improvement</li><li>2. Ability to counsel an organization on how to continually improve the effectiveness and the efficiency of an ABMS</li><li>3. Ability to implement ABMS continual improvement processes in an organization.</li><li>4. Ability to determine the appropriate business improvement tools to support continual improvement processes of a specific organization</li><li>5. Ability to identify, analyze the root-causes of nonconformities and proposed action plans to treat them</li><li>6. Ability to identify, analyze the root-cause of potential nonconformities and proposed action plans to treat them</li></ol>	<ol style="list-style-type: none"><li>1. Knowledge of the main concepts related to continual improvement</li><li>2. Knowledge of the characteristics and the difference between the concept of effectiveness and the efficiency</li><li>3. Knowledge of the concept and techniques to perform a benchmarking</li><li>4. Knowledge of the main processes, tools and techniques used by professionals to identify the root-causes of nonconformities</li><li>5. Knowledge of the characteristics and the difference between corrective actions and preventive actions</li><li>6. Knowledge of the main processes, tools and techniques used by professionals to develop and propose the best corrective and preventive action plans</li></ol>



## Domain 7: Preparing for the ABMS certification audit

**Main objective:** Ensure that the ISO 37001 Lead Implementer candidate is able to prepare an organization for the certification against ISO 37001

Competencies	Knowledge statements
<ol style="list-style-type: none"> <li>1. Ability to understand the main steps, processes, and activities related to an ISO 37001 certification audit</li> <li>2. Ability to understand, explain and illustrate the audit evidence approach in the context of an ISO 37001 audit</li> <li>3. Ability to counsel an organization to identify and select a certification body that meets their needs</li> <li>4. Ability to review the readiness of an organization for an ISO 37001 certification audit</li> <li>5. Ability to prepare the personnel of an organization for an ISO 37001 certification audit</li> <li>6. Ability to argue and challenge the audit findings and conclusions with external auditors</li> </ol>	<ol style="list-style-type: none"> <li>1. Knowledge of evidence based approach in an audit</li> <li>2. Knowledge of the different types of evidences: physical, mathematical, confirmative, technical, analytical, documentary and verbal</li> <li>3. Knowledge of the differences of stage 1 audit and stage 2 audit</li> <li>4. Knowledge of stage 1 audit requirements, steps and activities</li> <li>5. Knowledge of the documentation review criteria.</li> <li>6. Knowledge of stage 2 audit requirements, steps and activities</li> <li>7. Knowledge of follow-up audit requirements, steps and activities</li> <li>8. Knowledge of surveillance audits and recertification audit requirements, steps and activities</li> <li>9. Knowledge of the requirements, guidelines, and best practices to develop action plans following an ISO 37001 certification audit</li> </ol>

Based on the above mentioned 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 per competency domain
			Questions that measure Comprehension, Application and Analysis	Questions that measure Synthesis and Evaluation				
Competency/Domains	Fundamental principles and concepts in Anti-bribery Management (ABMS)	5	X		1	8.33	5	6.67
	Anti-bribery Management System (ABMS)	5	X		1	8.33	5	6.67
	Planning the ABMS implementation based on ISO 37001	5		X	2	16.66	10	13.34
		5	X					
	Implementing the ABMS based on ISO 37001	5	X		3	25	20	26.68
		10		X				
		5		X				
	Performance evaluation, monitoring and measurement of the ABMS based on ISO 37001	10		X	3	25	20	26.68
		5	X					
		5	X					
Continual improvement of the ABMS based on ISO 37001	5		X	1	8.33	5	6.67	
Preparing for the ABMS certification audit	10		X	1	8.33	10	13.34	
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 credentials of PECB Certified ISO 37001 Lead Implementer, depending on their level of experience.

## TAKE THE EXAM

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Candidates will be required to arrive at least 30 minutes before the beginning of the certification exam. Candidates arriving late will not be given additional time to compensate for the delayed 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 duration of the exam is three hours. Non-native speakers will receive an additional half an hour.

**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 understood the training's concepts. At the end of this document, you will find samples of exam questions and potential answers.

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

- A copy of the **ISO 37001** standard
- Course notes from the Participant Handout
- Any personal notes made by the student during the training course
- A hard copy dictionary

**The use of electronic devices, such as laptops, cell phones, etc., is strictly forbidden.**

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](mailto:examination@pecb.com).

## Receive Your Exam Results

Results will be communicated via email within a period of six to eight weeks from the exam date. The candidate will be provided with only two possible exam results: pass or fail, rather than an exact grade.

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

In case of exam failure, the results will be accompanied with the list of domains in which the candidate has failed to fully answer the question(s). 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](mailto:examination@pecb.com). For more information, please refer to [www.pecb.com](http://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, the candidate must wait 15 days (from the initial date of the exam) for the next attempt (first retake). The retake fee applies.

**Note:** Candidates who have completed the full training course 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, the candidate must wait three months (from the initial date of the exam) for the next attempt (second retake). The retake fee applies.
- If a candidate does not pass the exam on the third attempt, the candidate must wait six months (from the initial date of the exam) for the next attempt (third retake). The 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. The regular fee applies.

For the candidates that fail the exam in the second retake, PECB recommends to attend an official training course 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 training course session.

## **Closing a Case**

If a candidate does not apply for the certificate within three years, their case will be closed. Even though the certification period expires, the candidate has 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 case was closed. A candidate requesting their case to reopen must do so in writing and pay the required fees.

## **Exam 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. If someone holding PECB credentials reveals information about PECB examination content, he/she is considered to have violated 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 remedies against individuals or organizations who infringe upon its copyrights, proprietary rights, and intellectual property.

## SAMPLE EXAM QUESTIONS AND POSSIBLE ANSWERS

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### 1. Interpretation of ISO clauses

For each of the following clauses of the ISO 37001 standard, please provide an action plan with at least two concrete actions that would be acceptable to ensure conformity to the clause and fulfill control objectives.

#### Clause 5.2 Anti-bribery policy

##### Possible answers:

- *Establishment of a an anti-bribery policy compliant with anti-bribery objectives of the company and appropriate to the purpose of the company*
- *Communication of anti-bribery policy in appropriate languages within the organization and to business associate who pose more than a low risk of bribery*

### 2. Development of metrics

For each of the following clauses of the ISO 37001 standard, please provide two examples of metrics that would be acceptable to measure the conformity to the clause.

#### Clause 9.3 Internal audit

##### Possible answers:

- *Number of internal audits that have been conducted at the planned time*
- *Results of internal audits*

**Address:**

Head Quarters  
6683 Jean Talon E,  
Suite 336 Montreal,  
H1S 0A5, QC,  
CANADA

**Tel./Fax.**

T: +1-844-426-7322  
F: +1-844-329-7322

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**Emails:**

Examination: [examination@pecb.com](mailto:examination@pecb.com)  
Certification: [certification@pecb.com](mailto:certification@pecb.com)  
Customer Care: [customer@pecb.com](mailto:customer@pecb.com)

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