



# PECB



## PECB CERTIFIED ISO 37001 LEAD AUDITOR

MASTERING THE AUDIT OF AN ANTI-BRIBERY MANAGEMENT SYSTEM (ABMS) BASED ON ISO 37001:2016

### SUMMARY

This five-day intensive course enables participants to develop the necessary expertise to audit an Anti-bribery management system based on ISO 37001:2016 and ensures that the organization is competent in maintaining its management system. The Lead Auditor training will equip each participant with the skills and ability to perform audits by applying widely recognized audit principles, procedures and techniques. During the training, the participant will acquire the necessary knowledge and skills to proficiently plan and perform internal and external audits in compliance with ISO 19011; the certification process according to ISO 17021. Based on practical exercises, the participant will develop the skills (mastering audit techniques) and competencies (managing audit teams and audit program, communicating with customers, conflict resolution, etc.) necessary to efficiently conduct an audit.



## WHO SHOULD ATTEND?

- ▶ Internal auditors
- ▶ Auditors wanting to perform and lead Anti-bribery Management System certification audits
- ▶ Project managers or consultants wanting to master Anti-bribery Management System audit process
- ▶ Persons responsible for Anti-bribery conformity in an organization
- ▶ Members of Anti-bribery team
- ▶ Expert advisors in Anti-bribery Management System
- ▶ Technical experts wanting to prepare for Anti-bribery audit function

## COURSE AGENDA

DURATION: 5 DAYS

### DAY 1 Introduction to Anti-bribery Management System concepts as required by ISO 37001

- ▶ Introduction to management system and the process approach
- ▶ Normative frameworks and methodologies related to Anti-bribery
- ▶ Fundamental principles of Anti-bribery Management System
- ▶ ISO 37001 certification process
- ▶ Detailed presentation of ISO 37001 clauses

### DAY 2 Planning and initiating an ISO 37001 audit

- ▶ Fundamental audit concepts and principles
- ▶ Audit approach based on evidence and risk
- ▶ Preparation of an ISO 37001 certification audit
- ▶ Anti-bribery management system documentation audit
- ▶ Conducting an opening meeting

### DAY 3 Conducting an ISO 37001 audit

- ▶ Communication during the audit
- ▶ Audit procedures: observation, document review, sampling techniques, technical verification, corroboration and evaluation
- ▶ Audit test plans
- ▶ Formulation of audit findings
- ▶ Documenting non-conformities

### DAY 4 Concluding and ensuring the follow-up of an ISO 37001 audit

- ▶ Documentation of the audit and anti-bribery review
- ▶ Conducting a closing meeting and conclusion of an ISO 37001 audit
- ▶ Evaluating corrective action plans
- ▶ ISO 37001 surveillance audit
- ▶ ISO 37001 internal audit management program

### DAY 5 Certification Exam



## LEARNING OBJECTIVES

- ▶ To acquire the expertise to perform an ISO 37001 internal audit following ISO 19011 guidelines
- ▶ To acquire the expertise to perform an ISO 37001 certification audit following ISO 19011 guidelines and ISO 17021 specifications
- ▶ To acquire the necessary expertise to manage Anti-bribery Management System audit team
- ▶ To understand the relationship between the Anti-bribery Management System and compliance with the requirement of different stakeholders of the organization
- ▶ To improve the ability to analyze the internal and external environmental of an organization, and audit decision-making in the context of Anti-bribery Management System

## EXAMINATION

The "Certified ISO 37001 Lead Auditor" exam fully meets the requirements of the PECB Examination and Certification Programme (ECP). The exam covers the following competence domains:

- ▶ Domain 1: Fundamental principles and concepts of Anti-bribery Management System
  - ▶ Domain 2: Anti-bribery Management System
  - ▶ Domain 3: Fundamental audit concepts and principles
  - ▶ Domain 4: Preparation of an ISO 37001 audit
  - ▶ Domain 5: Conduct of an ISO 37001 audit
  - ▶ Domain 6: Conclusion and follow-up of an ISO 37001 audit
  - ▶ Domain 7: Management of an ISO 37001 audit program
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- ▶ The "Certified ISO 37001 Lead Auditor" exam is available in different languages
  - ▶ Duration: 3 hours
  - ▶ For more information about exam, refer to PECB section on ISO 37001 Lead Auditor Exam



## CERTIFICATION

- ▶ After successfully completing the exam, participants can apply for the credentials of Certified ISO 37001 Provisional Auditor, Certified ISO 37001 Auditor or Certified ISO 37001 Lead Auditor, depending on their level of experience. Those credentials are available for internal and external auditors
- ▶ A certificate will be issued to participants who successfully pass the exam and comply with all the other requirements related to the selected credential
- ▶ For more information about ISO 37001 certifications and PECB certification process, refer to PECB section on ISO 37001 Lead Auditor

Credential	Exam	Professional experience	MS audit/ assessment experience	Other requirements
<b>ISO 37001 Provisional Auditor</b>	PECB Certified ISO 37001 Lead Auditor exam or equivalent	None	None	Signing the PECB code of ethics
<b>ISO 37001 Auditor</b>	PECB Certified ISO 37001 Lead Auditor exam or equivalent	<b>Two years</b> One year of Anti-bribery work experience	Audit activities totaling 200 hours	Signing the PECB code of ethics
<b>ISO 37001 Lead Auditor</b>	PECB Certified ISO 37001 Lead Auditor exam or equivalent	<b>Five years</b> Two years of Anti-bribery work experience	Audit activities totaling 300 hours	Signing the PECB code of ethics

## GENERAL INFORMATION

- ▶ Certification fees are included in the exam price
- ▶ Participants manual contains over 450 pages of information and practical examples
- ▶ A participation certificate of 31 CPD (Continuing Professional Development) credits will be issued to the participant
- ▶ In case of failure of the exam, participants are allowed to retake it for free under certain conditions