



PEEB 27001 Lead Auditor Candidate Handbook (V 1.0)

This Candidate Handbook provides comprehensive information, understanding policies & procedures related to certification eligibility, test development and administration, professional conduct, and disciplinary measures, maintain certification, and security procedure established by PEEB.

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1 INTRODUCTION

1.1 About PEEB

1.1.1 Who We Are?

The Professional Excellence Evaluation Board (PEEB) is the premier global accredited personnel certification body as per ISO 17024:2012 from International Accreditation Services (IAS). PEEB accreditation demonstrates that all certifications meet the global standards. PEEB provides certification schemes in diverse professions and industries, not limited to Quality, Health & Safety, Food, Environment, Energy, Six Sigma, Fire, Calibration, Lifting and Rigging etc. PEEB's rigorous, effective, and reliable e-certification process elevates the expectations of professionals in their fields and allows them to demonstrate their commitment and ability to work at the highest level.

PEEB uses Subject Matter Expert (SME) throughout the development and evaluation processes. Our extensive knowledge in developing task analysis, assessments, and certifications distinguishes us in the competitive environment.

We are highly committed and accepted to be an autonomous certification board by employers, and learners in the market. We are dedicated to being the most dynamic and fresh thinking organisation in the market. We believe that the right professional with the right competencies delivers the right outcomes.

PEEB recognises the importance of impartiality in carrying out its certification activities, so all the staff and/or stake holders manage conflicts of interest and ensure the objectivity of all certification activities. PEEB will not discriminate based on race, creed, ethnic origin, religion, age, disability, political affiliation, gender, sexual orientation, or marital, parental, military, or any other legally protected status.

1.1.2 Our Objective

1. Our objective is to keep things simple for individuals, and advance their knowledge, skills, and careers, for the meet-up of individuals, organizational requirements, and customer services.
2. To encourage the professionalism, equality, diversity and urge the ethical practice.
3. To sustain the integrity of assessments and certification by providing quality assurance.
4. Provide comprehensive services that demonstrate the benefits for individuals and inspire them as a whole society.

1.1.3 Our Motto is “Passion for Excellence”

Vision

To build a global platform for professionals to pursue excellence through personnel certifications.

Mission

To inspire and develop leaders in their professions through globally recognized personnel certifications and support the society.

Values

Dedication to Superiority: We make sure the highest level of excellence in all outputs with the aim to become “Global Leaders” Our slogan is “**Passion for Excellence**”.

Veracity: We ensure that all exchanges with clients and along with staff are based on honesty and mutual self-esteem with the aim of support ‘integrity over the board’.

Sustainability: Our believe is in the long-term sustainability of both the organisation and clients thereby “boosting self-sufficiency all through continuous enrichments in our services”

Accountability: We deliver our promises to ourselves and our customers.

Modernization / Innovation: Our believe in learning, modifying, and expanding thereby “reacting positively to change”.

Professionalism and Excellence: Dedication to be the best and to provide the best for our members.

Transparency: Effective and clear communication about all our business.

1.1.4 PEEB Code of Conduct

This code of conduct sets professional standards and ethical values, which are set and must be complied by applicants, candidates and credential holders and abide by PEEB obligations, standards, and its governing policies always.

Integrity:

The certified professionals shall pursue and maintain integrity, dignity, and distinction of the profession as well as of the PEEB by complying with these standards of work ethics.

Scope:

PEEB evaluated/certified professionals shall hold and be accountable for fundamental standards during the conduct of their duties and professionally advise employers, clients, employees, the public and appropriate authorities, of any danger and intolerable risks.

Professionalism:

PEEB evaluated and certified professional candidates shall only conduct practice in his/her educational field of expertise and knowledge. As well as following up their professional development by maintaining their proficiency through further knowledge, work experience, professional skills, and keeping up to date with current affairs of the profession.

PEEB certified professional shall pursue opportunities in services of civic, business affairs, working for improvement of the quality check, health and safety, system security, management proficiencies, and other well-being of the community, by sharing their acquired knowledge and professional skills and experiences.

Fairness:

PEEB certified professional shall always act as a non-bias professional of their field and with the

manner regardless to individual's religion, ethnicity, gender, age, national origin, sexual orientation, or disability.

Support:

PEEB certified professional will always support fellow professionals and PEEB as the main operating power behind the development in the professional environment. In addition, certified professional by PEEB - will not conspire, embarrass, or discredit the PEEB or the other colleagues.

1.1.5 Statement of Confidentiality

PEEB certified professional must be unbiased and fair-minded conduct his/her professional affairs with responsibility and integrity. Continuously maintain exacting standards of ethics, balanced care for the concerns of the public, employers, clients, employees, colleagues, and the profession itself.

PEEB certified professional must avoid conducting or practice, which might lead to discrediting the professions, PEEB board or misleading the public in any manner.

1.1.6 Statement of Impartiality

Professional Excellence Evaluation Board - PEEB provides an objective and balanced professional certification awarding services. We stick to transparent procedures based on certification schemes, which comprises built-in checks to ensure the objectivity of certification activities.

2 PEEB 27001 LEAD AUDITOR CERTIFICATION SCHEME

2.1 PEEB 27001 Lead Auditor Program Overview

The PEEB 27001 Lead Auditor credential designation represents a personal benchmark that validates knowledge, skill, expertise, and practice. Obtaining the PEEB 27001 Lead Auditor certification will set you apart from others within the QMS industry and emphasize that you are professionally committed to help potential customers and develop Quality Management industry experience at workplace.

The certification program is not designed to determine who is qualified or who shall engage in QMS industry. The goal is to promote excellence and professionalism by documenting individual performance as measured against a predetermined level of knowledge about QMS.

2.2 PEEB 27001 Lead Auditor

PEEB's main purpose is to deliver excellency and systematically quality products, services, and skills through PEEB 27001 Lead Auditor certifications. The PEEB 27001 Lead Auditor certification program certifies individuals who have met the program pre-requisites and who demonstrate that they have acquired a minimum level of knowledge and expertise in this field by passing the examination/assessment.

PEEB 27001 Lead Auditor certifications provide a unique excellency style of evaluation that help learners / candidates to master the art of QMS to improve continuously and successfully meet customer, business, organisational, and regulatory requirements.

PEEB utilizes the assistance and support of professional experts in examination development, psychometrics, and examination delivery to support the development of the 27001 Lead Auditor certification and examination. This cooperative effort by the PEEB, its practicing QMS professionals has resulted in defining the body of knowledge significant to the practice of QMS standards.

2.3 Objectives of Certification

The objectives of the certification program for QMS professionals are to:

1. Develop professional standards and distinctive competencies for delivering excellence practice for the industry of QMS.
2. Certify and provide recognition to individuals, auditors and quality managers who demonstrate and acquired body of knowledge and expertise.
3. Provide leading information security management system certification program that is assessed/evaluated by expert lead auditors with a wide experience of quality management systems who will give you the skills required to perform internal, supplier and certification body audit.
4. Foster continuing competence and maintain the professional standard in OHS through a mandatory continuing professional development (CPD) program.
5. ISO 27001 has six mandatory procedures: control of documents, control of records, internal audit, corrective action, preventive action, and control of non-conforming products.

2.4 PEEB 27001 Lead Auditor Certification Scope

QMS certifications scope provides valued knowledge and recognitions that the candidate has experience within a specific industry.

When you see PEEB 27001 Lead Auditor after a name, you know that they have been through a rigorous process that confirms their recognised schooling, professional practice, and professional development and that they have successfully passed a competency-based certification evaluation. They have also signed and agreed to abide by the PEEB Code of Ethics and maintain ongoing continual professional development (CPD).

2.5 Eligibility Criteria

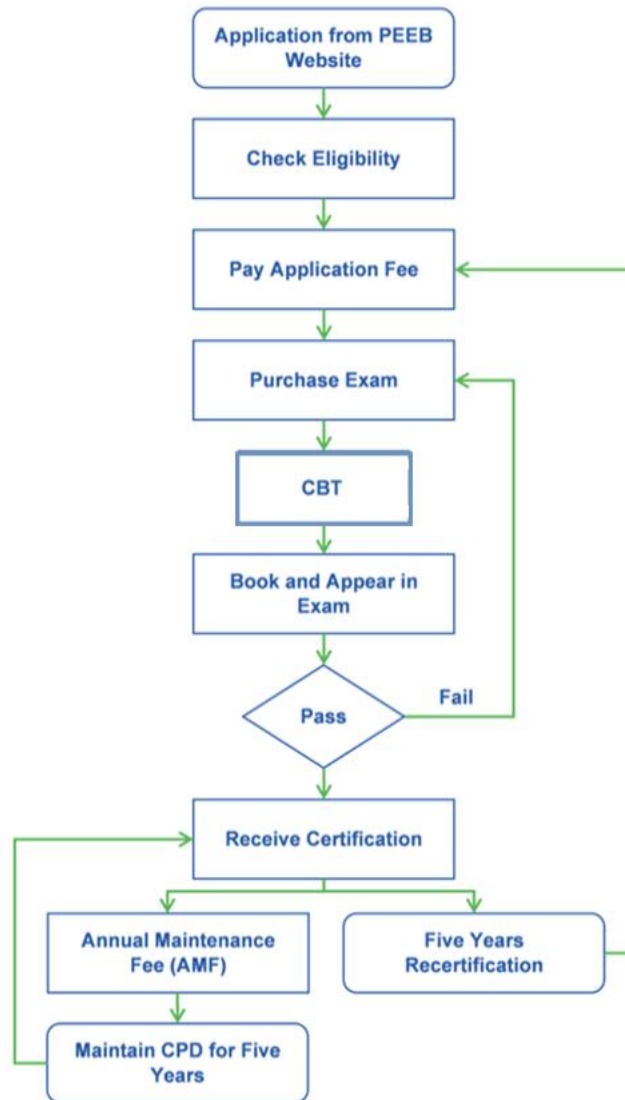
Applicants for PEEB 27001 Lead Auditor certification must meet one of the following three options:

Exam	Education	Professional Experience	Audit/Assessment Experience (Optional)
PEEB 27001 Lead Auditor	Master's Degree in any subject or (International equivalent)	One-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 100 hours
	Bachelor's Degree or (International equivalent)	Three-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours
	Diploma / GCSE, no higher education degree is required	Five-year work experience in any industry, at least 50% work experience in same discipline	Audit Activities: A total of 200 hours

3 APPLICATION AND EXAMINATION PROCEDURE

3.1 Certification & Application Process

PEEB offers a very clear and easy procedure for the PEEB certification. Candidate Can go towards the PEEB Certification by following these application and examination steps.



3.2 Certification Steps

Step 1 – Pick A certification

The first stage is to select a certification from the PEEB website according to the eligibility.

Step 2 – Check Eligibility

The second step is to check the certification criteria through the PEEB official website. Applicants for PEEB certification must meet one of the following three options given in Chapter 2.

Step 3 – Pay and Submit Application

Fill up the signup form, pay the application fee and then submit the remaining application at the PEEB online portal. Applications are reviewed by PEEB management and evaluate the material presented

by an applicant i.e., Applicants for PEEB certification must meet one of the following three options given in chapter 2. Applicants will receive a notification about their application status within 3 business days of receiving your application.

Step 4 – Purchase Exams

Once the application is approved, the applicant will purchase the exam set and the Applicants must have to sit an examination within one year of validity.

Step 5 – Select Exam

PEEB Exams is a computer-based test CBT.

Step 6 – Book and Appear in Exam

Once the exam is purchased, the Candidate can take the exam anytime by visiting the Exam link provided through email.

Step 7 – Pass the Examination

Once the Candidate passes the PEEB certification exam he qualifies for the certification. PEEB will award certification who pass the certification exams.

Step 8 – Pay Annual Renewal Fee

There is an annual renewal fee who earn the PEEB credential. Candidate must have to maintain and submit the CPD points yearly.

3.3 Recertification

PEEB certified must maintain CPD by compiling 25 Re-certification points every year. Another way to earn all the required points is to retake and pass the examination for Re-certification.

3.4 Application Fees for Examination and Certification

PEEB offers direct exams, where a candidate can sit for the exam without attending the training course. The applicable prices are as follows:

- Application Fee: £75
- Certification Exam Fee: £225
- Re-sit Examination Fee: £99
- Annual Maintenance Fee (AMF): £99

The application fee for certification is £75 and will be valid for one year, applicants can schedule certification exams within one year. PEEB waved off the first year of the Annual Maintenance Fee (AMF) from all certification holders.

Note: If your application is not approved or you're not eligible we will contact you. The application's £75 processing fee is not refundable.

3.5 Examination Approval Process

Once the application is approved by PEEB the candidate will receive a confirmation email of approval from PEEB.

A candidate must sit for the examination within one year of receiving approval. If the candidate fails to take an exam within this one-year period, they must undergo the entire application approval process again, including the application fee, unless there are exceptional circumstances.

3.6 Appointment Scheduling

PEEB is responsible for the Online examination.

3.6.1 Online

Once the exam is purchased, the Candidate can take the exam anytime within the time period by visiting the My PEEB portal., Once the exam is booked and started, they must complete it in one sitting.

3.7 Identification Requirements

The examination candidate is required to present an original (no photocopies) & valid ID i.e., passport/national identity card etc.

If you are not a citizen of the country in which you are sitting for the exam, the only acceptable identification document is your valid, unexpired passport.

Failure to present the proper identification will result in the forfeiture of your examination.

4 MANDATORY RULES & REGULATIONS

4.1 Rules for Scheduling/Appointment for Examination

To change an existing examination appointment, you must follow strict rules. If you fail to follow these rules, you forfeit your Exam Authorization.

You may change your appointment only if there are 5 or more full business days before your existing appointment date. Appointments being rescheduled are subject to availability at PEEB. Appointment rescheduling reason will be checked, only medical reason will be acceptable if there is a satisfying prove from doctor or medical report.

You cannot reschedule your appointment to a date on or beyond your Authorization Expiration date. If the candidate needs an examination extension, may apply for a one-year with additional fees.

4.2 Missed Examinations

If you fail to keep your scheduled examination appointment or if you arrive more than 30 minutes beyond the starting time of your scheduled appointment or if you fail to present acceptable identification when you arrive for your scheduled appointment, you may be refused admission, and you may forfeit your examination writing. To sit for the examination after having been refused admission, you must register and pay for certification exam fee.

4.3 Inclement Weather or Emergency

In the event of inclement weather or unforeseen emergencies on the day of the examination, PEEB will determine whether circumstances warrant the cancellation of the certification exam. The examination will usually not be cancelled.

4.4 Personal Belongings

All candidates will be required to leave their personal belongings outside the testing area. While the testing Centre will make available to you a secure area to store your belongings, the PEEB assumes no responsibility for lost, stolen, broken, or misplaced personal property and candidates should plan appropriately.

Before entering the testing area, an unobtrusive visual inspection of personal items will be conducted by the examination proctors.

As you sign in, the testing Centre staff provides you with materials for working out calculations by hand.

Prohibited items include:

- Mechanical or electronic devices including but not limited to computers, cellular phones, smart phones, personal digital assistants, pagers, calculators, wireless email and reading devices, electronic paging devices, recording or filming devices, cameras, tape recorders, headphones, headsets, mp3 players and radios.
- All forms of outerwear, including but not limited to hats, scarves, gloves, jackets, coats.

- All forms of luggage, including but not limited to book bags, backpacks, handbags, purses, suitcases, and briefcases
- Writing and marking supplies, including but not limited to pens, pencils, erasers, post-it notes, note paper
- Props such as copyholders or clipboards
- Food and beverage
- Weapons of any kind, including but not limited to sharp objects, firearms, explosive devices, razor blades, box cutters and knives
- Hats or headwear of any kind unless provision has been made for specific religious apparel.

Objects worn, or brought into the testing area, because of the candidates sincerely held a personal religious belief, practice or observance will be permitted, subject to prior notification and authorization by the PEEB.

You may access stored medicine or food or drinks outside the secure testing room. You may not access other personal belongings until you complete your examination.

4.5 Test Misconduct

Candidates observed doing any of the following, or engaging in similar, dishonest practices during the exam will be considered to have engaged in test misconduct and both their application and exam administration may be dismissed. Candidates engaged in test misconduct may be disqualified from sitting any future PEEB exams.

Such test misconduct includes, but is not limited to, the following:

- Disclosing certification questions and/or certification subject matter.
- Aiding or abetting anyone in a cheating offence.
- Speaking or communicating with other candidates about specific certification content or questions before, during, or after the examination administration.
- Improperly obtaining through theft, bribery, collusion, or otherwise any test form prior to the date and time of the test's administration.
- Falsifying your identity or impersonating another candidate.
- Using any books, memoranda, calculators, audio or visual players or electronic devices including electronic watches, organizers, Smartphones, iPads, pagers or other cell phones, or other memory aid devices or communication devices other than those authorized by the PEEB.
- Looking at another candidate's responses.
- Copying another candidate's responses.
- Removing or attempting to remove PEEB material electronically or otherwise from a test location.

Prior to the Certification Examination launching, candidates must agree to a non-disclosure agreement. It states:

I understand that the certification has expended a considerable amount of time, effort, and expense in the development of the certification exam that I am about to challenge. I further understand that the validity and integrity of the certification exam depends on the questions remaining undisclosed

to other potential certification candidates. I hereby agree that I will not disclose any information concerning the content of this PEEB exam.

If you do not agree to the non-disclosure agreement, the examination will not launch, and your examination appointment will end.

Where proctors have issued an incident report on a candidate engaging in test misconduct, the candidate affected may have their score voided.

Failure to abide by these rules and regulations may be determined as test misconduct. The PEEB will investigate any report of test misconduct or suspected test misconduct. Affected candidates will be contacted to provide their response to the report. The investigation will include an assessment of the appropriate penalty. After the investigation, the Committee will review the information, make a finding, and decide on a penalty.

4.6 Taking your Examination

PEEB provide the demo for the whole examination process. Candidate should watch the procedure videos before starting the exam. When the examination is first launched, you must agree to comply with PEEB's examination security and nondisclosure rules.

If you experience any technical difficulties with the examination software or hardware during the testing event, please notify your proctor immediately so they may try to resolve the issue.

If you need to use the washroom, or when you leave your workstation for any reason, you must sign out and sign back in -- the on-site proctor will log your activity. Your examination clock continues to run during this time. You are not allowed to leave the building (or part of the building) for any reason while your examination clock is running.

The PEEB will endeavour to ensure that the environment for writing the examination is acceptable. Please be aware that on occasion, candidates may be exposed to minor distractions and the temperature in the testing area may vary. Candidates who are easily distracted by noise may request earplugs or noise-cancelling headphones from the proctor.

PEEB examinations are open book, except for materials by staff or on-screen test aids as part of the examination. Once your examination clock starts, access to any materials beyond those given to you by any organisation PEEB invalidates examinations and pursues disciplinary charges if you access prohibited materials, have contact with anyone except testing staff, leave the building while your examination clock is running, or engage in unethical, disruptive, or unprofessional conduct at a testing centre.

The certification exam is a proctored examination. Any incidences of test misconduct may result in the examination results being withheld or a determination of ineligibility. If it is determined at any time that you have accidentally or deliberately disclosed information relating to the Certification exam, it may result in your results being withheld, a determination of ineligibility for the designation,

or if the designation has already been awarded, you may be subject to investigation by Committee which may result in suspension or termination of your certification.

4.7 Security

PEEB, maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

5 STUDY MATERIAL & GUIDELINES

5.1 Preparation for Certification Examination

The following references have been identified by the PEEB as suggested reading by candidates preparing to write the certification examination.

Note: Any attempt to copy, collude, or otherwise cheat during the exam session will lead to automatic failure.

5.2 Tips and Scheduling Study Time

Develop a methodical approach to studying each domain. This can be accomplished by organizing your study time. Candidates report they spend between 60 and 200 hours on average preparing for the exam.

5.3 Review Sample Examination Questions

Some sample questions will be provided once the application is accepted which will give you an indication of the style of questions that will be asked, the type of thinking required and the degree of difference between incorrect and correct answers.

5.4 Control Examination Anxiety

Part of controlling anxiety involves being prepared for what to expect. Here are some tips:

Prior to the examination:

- Know your material. Spend adequate time studying for the certification exam.
- Ensure you get enough sleep, good nutrition, exercise, personal downtime, etc. Think positively.

On the day of the examination

- Allow yourself plenty of extra time to arrive testing centre so you have adequate time to park, register, etc.
- Dress comfortably – you will be seated for 2 hours.

During the examination

- Relax. Practice relaxation techniques such as deep breathing.
- Do not focus on any anxiety you may be experiencing.
- Do not expect to know all the answers. It is unlikely that a candidate will answer all questions correctly. Use your reasoning ability to analyse the question and identify the best possible answer.

6 EXAMINATION STRATEGY AND SCHEDULING

6.1 Certification Examination Overview

PEEB offers Computer-Based Tests (CBT) only. PEEB offers a minimum of one exam on the 15th of every month or as per requirement only in English language.

- Computer-Based Test - CBT

6.1.1 Computer-Based Test – CBT

Computer-based exams are provided electronically via the PEEB Exams applications. The use of electronic devices, such as tablets and cell phones, is not allowed. The exam session is supervised remotely by a PEEB Invigilator via the PEEB Exams application, and an external/integrated camera in the online test. Access will be granted on test day after submitting your exam fee.

6.2 Examination Strategy

The examination consists of 50 questions by CBT or PBT and 2 hours to complete. Each question consists of 2 marks and 100 marks for whole examination. It is required to get 50% marks (50 out of 100) to pass a certification examination.

The questions are presented in any of the following formats:

- Case-based (a set of questions associated with a brief scenario)
- Independent questions (stand-alone examination questions that contain the information necessary for responding).
- Matching Columns
- Fill in the Blanks
- True and False
- MCQ's

Candidates should thoroughly review the Blueprint for selected certification exam.

The Examination Committee is responsible for determining the PEEB certification content and the examination specifications, maintaining examination questions and setting the passing score.

6.3 Developing an Examination Strategy

Candidates who want to sit in PEEB 27001 Lead Auditor Examination must have thorough knowledge of all the seven domains. It takes time to adequately prepare for an examination. There are no shortcuts. While study tips and examination writing tips can help you prepare, there is no replacement for taking the time to build a solid base of knowledge.

Sr. No.	Domain Category
Domain 1	Fundamentals/ Concepts of Information Security Management System (ISMS) 27001 Audit
Domain 2	Requirements for Information Security Management System (ISMS)

Domain 3	Fundamental Audit Concepts and Principles
Domain 4	Managing /Organizing an ISO 27001 Audit Programme
Domain 5	Conducting an Audit (Stages/Process)
Domain 6	Conducting the Closing of ISO 27001 Audit
Domain 7	Assessment/Managing an ISO 27001 Lead Auditor Programme

6.4 PEEB 27001 LEAD AUDITOR Domains

This exam covers the following competency domains.

6.4.1 Domain 1. Fundamentals/ Concepts of Information Security Management System (ISMS) 27001 Audit

Knowledge of:

1. Information security laws, regulations, international and industry standards, contracts, market practices, internal policies, etc., an organization must comply with
2. Main standards related to information security
3. Main concepts and terminology of ISO 27001
4. Concept of risk and its application in information security
5. Relationship between information security aspects
6. Difference and characteristics of security objectives and controls
7. Difference between preventive, detective, and corrective controls
8. Main characteristics of big data, artificial intelligence, machine learning, cloud computing, and outsourcing operations

Skills:

1. Ability to understand and explain the main concepts of the information security management system
2. Explain the organization's operations and the development of information security standards
3. Identify, analyse, and evaluate the information security compliance requirements for an organization
4. Ability to explain and illustrate the main concepts in information security and information security risk management
5. Distinguish and explain the difference between information asset, data, and record
6. Understand, interpret, and illustrate the relationship between information security aspects such as controls, vulnerabilities, threats, risks, and assets
7. Ability to identify and illustrate big data, artificial intelligence, machine learning, cloud computing, and outsourcing operations

6.4.2 Domain 2. Requirements for Information Security Management System (ISMS)

Knowledge of:

1. Supporting standards of ISO 27001
2. Concepts, principles, and terminology related to management systems
3. Principal characteristics of an integrated management system

4. ISO 27001 requirements presented in the clauses 4 to 10
5. Main steps to establish the ISMS and security policies, security objectives, processes, and procedures relevant to managing risks, and improving information security to deliver results in accordance with an organization's overall policies and objectives
6. Risk assessment approach and methodology
7. Concept of continual improvement and its application to an ISMS
8. Security objectives and controls
9. Statement of Applicability document

Skills:

1. Understand the ISO 27001 requirements and the structure of the standard
2. Understand the components of an information security management system based on ISO 27001 and its principal processes
3. Interpret, and analyse the requirements of ISO 27001
4. Understand whether the organization has satisfied the needs of the interested parties
5. Explain, and illustrate the main steps to establish, implement, operate, monitor, review, maintain, and improve an organization's ISMS
6. Ability to understand the risk assessment approach and methodology
7. Ability to understand the selection of appropriate controls based upon Annex A of ISO 27001

6.4.3 Domain 3. Fundamental Audit Concepts and Principles

Knowledge for:

1. Main audit concepts and principles as described in ISO 19011
2. Differences between first, second, and third-party audits
3. Principles of auditing: integrity, fair presentation, due professional care, confidentiality, independence, evidence-based approach, and risk-based approach
4. Auditor's professional responsibility and the PEEB Code of Ethics
5. Evidence-based approach in an audit
6. Different types of audit evidence: physical, mathematical, confirmative, technical, analytical, documentary, and verbal
7. Laws and regulations applicable to the auditee and the country it operates in, etc.
8. Use of big data in audits
9. Knowledge of the auditing of outsourced operations

Skills:

1. Evaluate the audit management and auditing Performance of audit team.
2. Understand, explain, and illustrate the application of the audit principles in an ISMS audit
3. Differentiate first, second, and third-party audits
4. Identify and judge situations that would discredit the professionalism of the auditor and violate the PEEB Code of Ethics
5. Identify and judge ethical issues considering the obligations related to the audit client, auditee, law enforcement, and regulatory authorities
6. Understand the legal implications related to any irregularities committed by the auditee
7. Ability to understand the impact of trends and technology in auditing
8. Illustrate, and apply the audit evidence approach in the context of an ISMS audit

9. Explain and compare evidence types and their characteristics
10. Determine and justify the type and amount of evidence required in an ISMS audit

6.4.4 Domain 4. Managing /Organizing an ISO 27001 Audit Programme

Knowledge of:

1. Risk-based approach to an audit and the different types of risks related to audit activities such as inherent risk, control risk, and detection risk
2. Concept of materiality and its application to an audit
3. Concept of reasonable assurance and its application to an audit
4. Main responsibilities of the audit team leader and audit team members
5. Roles and responsibilities of technical experts
6. Audit objectives, audit scope, and audit criteria
7. Difference between an ISMS scope and the audit scope
8. Factors to consider during the audit feasibility
9. Cultural aspects to consider in an audit
10. Characteristics of terms of the audit engagement and the best practices to establish the initial contact with an auditee

Skills:

1. Ability to conduct desk review
2. Audit to the ISO 27001/19011 system theories/ of reasonable assurance and its application.
3. Determine and evaluate the level of materiality and apply the risk-based approach during the different stages of an ISMS audit
4. Judge the appropriate level of reasonable assurance needed for an ISMS audit
5. Ability to understand and illustrate the steps and activities to prepare an ISMS audit considering the specific context of the audit
6. Ability to understand and explain the roles and responsibilities of the audit team leader, audit team members, and technical experts
7. Determine and evaluate the level of materiality during the different stages of an ISMS audit
8. Determine the audit feasibility
9. Evaluate, and confirm the audit objectives, the audit criteria, and the audit scope for an ISMS audit
10. Explain, illustrate, and define the characteristics of the terms of the audit engagement and apply the best practices to establish the initial contact with an auditee

6.4.5 Domain 5. Conducting an Audit (Stages/Process)

Knowledge of:

1. Objectives and the content of the opening meeting in an audit
2. Difference between stage 1 audit and stage 2 audit
3. Stage 1 audit requirements, steps, and activities
4. Documented information evaluation criteria and ISO 27001 requirements
5. Stage 2 audit requirements, steps, and activities
6. Best communication practices during an audit
7. Roles and responsibilities of guides and observers during an audit
8. Different conflict resolution techniques

9. Evidence collection procedures and tools such as interview, documented information review, observation, analysis, sampling, and technical verification
10. Evidence analysis techniques: corroboration and evaluation
11. Main concepts, principles, and evidence collection procedures used in an audit
12. Advantages and disadvantages of using audit checklists
13. Main audit sampling methods and their characteristics
14. Audit plan preparation procedure
15. Preparation and development of audit working papers
16. Best practices for the creation of audit test plans
17. Evidence evaluation process: to draft audit findings

Skills:

1. Conduct the stage 1 audit, considering the documented information evaluation criteria
2. Organize and conduct an opening meeting
3. Conduct the stage 2 audit by appropriately following the procedures that this stage entails
4. Best practices of communication to collect the appropriate audit evidence
5. Consider the roles and responsibilities of all the interested parties involved
6. Explain, illustrate, and apply evidence collection procedures and tools
7. Explain, illustrate, and apply the main audit sampling methods
8. Gather appropriate evidence from the available information during an audit and evaluate it objectively
9. Explain, illustrate, and apply the audit evidence approach in an ISMS audit
10. Develop audit working papers and elaborate appropriate audit test plans in an ISMS audit
11. Explain and apply the evidence evaluation process: drafting audit findings
12. Understand, explain, and illustrate the concept of the benefit of the doubt
13. Report appropriate audit observations in accordance with audit rules and principles
14. Conduct quality reviews to audit documentation
15. Complete audit working documents

6.4.6 Domain 6. Conducting the Closing of ISO 27001 Audit

Knowledge of:

1. Evidence evaluation process: to prepare audit conclusions
2. Guidelines and best practices to present audit conclusions to the management of an audited organization
3. Possible recommendations that an auditor can issue during the certification audit
4. Closing meeting agenda
5. Guidelines and best practices to evaluate action plans

Skills:

1. Explain and apply the evidence evaluation process: preparing audit conclusions
2. Justify the recommendation for certification
3. Draft and present audit conclusions
4. Organize and conduct a closing meeting
5. Write and distribute an ISO 27001 audit report
6. Evaluate action plans

6.4.7 Domain 7. Assessment/Managing an ISO 27001 Lead Auditor Programme

Knowledge for:

1. Audit follow-ups, surveillance audits, and recertification audit requirements, steps, and activities
2. Conditions for the modification, extension, suspension, or withdrawal of an organization's certification
3. Application of the PDCA cycle in the management of an audit program
4. Requirements, guidelines, and best practices regarding audit resources, procedures, and policies
5. Types of tools used by professional auditors
6. Requirements, guidelines, and best practices regarding the management of audit records
7. Application of the continual improvement concept to the management of an audit program
8. Particularities to implement and manage a first, second, or third-party audit program
9. Competency concept and its application to auditors
10. Management of combined audits
11. Personal attributes and behaviors of a professional auditor

Skills:

1. Conduct the activities following an initial audit, including audit follow-ups and surveillance activities
2. Understand and explain the establishment of an audit program and the application of the PDCA cycle into an audit program
3. Understand and explain the importance of protecting the integrity, availability, and confidentiality of audit records and the auditors' responsibilities in this regard
4. Understand and explain the responsibilities to protect the integrity, availability, and confidentiality of audit records
5. Understand the requirements related to the components of the management system of an audit program as quality management, record management, complaint management
6. Understand and explain the way that the combined audits are handled in an audit program
7. Understand the documented information management process
8. Understand the process of evaluating the efficiency of the audit program by monitoring the performance of each auditor and audit team member
9. Demonstrate the application of the personal attributes and behaviors associated with professional auditors

6.5 Glossary

6.5.1 Case-Based Questions

A set of questions associated with a brief scenario.

6.5.2 Competencies

The behaviour statements which reflect the combined knowledge, abilities, skills, attitudes, and judgment expected of an entry-level registered safety professional.

6.5.3 Independent Items

Stand-alone objective examination items which contain the information necessary for responding.

6.5.4 Operational Questions

Questions appearing on the examination that has been pre-tested and that is suitable for the examination. The answer to these questions counts in the candidate's score.

6.6 Following Certification Survey

Certification Examination Survey will be sent to you after the writing window closes. You are encouraged to complete the survey and submit your feedback.

Approximately six to eight weeks following the PEEB administration, you will be mailed your results. You will be provided with your overall score and your score for each of the subject areas (domains). To assure confidentiality, no candidate test scores will be reported over the telephone, by electronic mail or by facsimile.

6.7 Security

The PEEB maintains test administration and test security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. The PEEB reserves the sole right to cancel or withhold any test scores if, in its opinion, there is adequate reason to question their validity.

7 CERTIFICATION & MAINTENANCE

7.1 Obtaining your Results

In case of online examination, once you complete your examination, the result will be displayed on your computer screen immediately and in case of paper-based examination your results will be emailed in four (4) weeks from the date of examination.

If you do not pass, you will receive instructions on how to re-sit the examination and If you pass, you will receive information on the necessary steps to complete the certification requirements.

If you owe any outstanding fees to the PEEB related to the application or examination process, your examination results may be withheld until your account is up to date.

7.2 Passing Score Determination

7.2.1 Appeals

Because the performance of each question on the certification exam included in the final score has been pretested, there is no appeal process to challenge individual exam questions, answers, or a failing score. The PEEB will not release or discuss individual questions with candidates. To do so would require elimination of that question from the item bank of pretested questions and deplete the number of pretested questions required to develop future versions of the certification.

Additionally, appeals may be considered for alleged inappropriate certification exam administration procedures or environmental testing conditions severe enough to cause a major disruption of the certification exam process.

All appeals must be submitted in writing. Eligibility appeals must be received within fifteen (15) days of the notification of your assessment results. Appeals for alleged inappropriate administration procedures or severe adverse environmental testing conditions must be received within fifteen (15) days of the release of certification exam results.

7.2.2 Upon Successful Completion of Certification

Once approved, you are encouraged to use the credential on correspondence, business cards and all forms of address. Certification is for individuals only. The certification credential may not be used to imply that an organisation is certified.

7.2.3 Upon Unsuccessful Certification Exam

If certification exam is unsuccessful, candidate can sit 3 times in a year in PEEB certification examination.

7.2.4 Achieving Certification

On successful certification an online certificate (Portable Document Format PDF) will be shared through email which can be verified electronically through MY PEEB.

PEEB Directories: PEEB publishes directories of individuals who currently hold the certification. An abbreviated format, containing names, cities, and states, appears on the PEEB website and allows viewers to confirm if a person currently holds a certification.

7.3 Maintaining Your Certification

To retain your certification, you must:

- Inform PEEB when your mail or email address changes
- Pay your annual fee
- Complete Recertification requirements

7.3.1 Changing Your Name

If you change your name through marriage or other court proceedings, you may request a name change by contacting info@peebonline.com additionally, you must provide a copy of the court record or marriage certificate to register the change.

7.3.2 Paying Your Annual Renewal Fee

The authority to use the certification title is valid for one year. It must be renewed annually. You will receive a prorated fee for the remainder of the year in which you pass the examination. Each following year, PEEB will send you a notice when your annual renewal fee is due. PEEB gives you several options for paying the fee online via a credit card or by phone. After receiving your payment, PEEB will post your instant wallet card and email you a receipt.

7.3.3 Reinstatement

If you fail to pay your annual renewal fee on time or fail to achieve the required recertification points every three years, PEEB will send you a notice that your credential has been invalidated and you no longer hold the certification.

7.4 Recertification

Certification holder required to maintain certification by fulfilling the requirements of the Certification Maintenance Program (CMP). The Certification is valid for three years. To maintain his/her certification, the applicant must demonstrate every year that he/she is still performing tasks that are related to the certification.

Certified Professionals should engage in appropriate continual professional development activities to maintain the necessary knowledge to perform their tasks with competence. Depending on the certification applicable, these activities include education, work experience, auditor training, audit experience, implementation and/or consulting experience.

This may be achieved through means such as additional work experience, training, private study, coaching, attendance at meetings, seminars and conferences or other relevant activities.

When to submit CPD Logs: The certified professionals will need to provide with the number of hours of CPD related tasks they have performed with the contact details of individuals / organization who can validate these tasks. The CPD can be maintained and logged in MY PEEB application once any activity is completed.

The CPD must be submitted every year, starting from their initial certificate issuance date, as well as paying their Annual Maintenance Fee (AMF).