



ISO 37301 Lead Auditor



6 - 10 May 2024  
Rome (Italy)



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## Introduction

The PECB Certified 37301 Lead Auditor training course enables you to develop the necessary competence to perform compliance management system CMS audits by applying widely recognized audit principles, procedures, and techniques.

Many organizations seek competent auditors to determine whether their policies, procedures, and controls adhere to ISO 37301 requirements. This training course aims to help you complete these tasks successfully and intends to reflect the importance of effective CMS audits. In addition, this training course aims to strengthen your knowledge and skills to plan and carry out CMS audits based on the guidelines for auditing management systems provided in ISO 19011 and the certification process described in ISO/IEC 17021-1.

This training course can potentially qualify you to conduct audits on behalf of conformity assessment bodies.

The exercises, quizzes, and case studies provided in this training course are designed to help you practice the most important aspects of a CMS audit: ISO 37301 requirements, auditing principles, tools and techniques used to obtain evidence, leading a team of auditors, conducting interviews with the auditee, reviewing documented information, drafting nonconformity reports, and preparing the final audit report.

After successfully completing the training course, you can sit for the exam which is designed to measure your knowledge and skills regarding CMS audits. If you successfully pass the exam, you can apply for the "PECB Certified ISO 37301 Lead Auditor" credential. The "PECB ISO 37301 Lead Auditor" certification validates your professional capabilities and demonstrates that you have the knowledge and skills to audit a CMS based on ISO 37301.

## Course Objectives:

At the end of this course, the participants will be able to:

- Understand the main concepts of a compliance management system CMS and its processes based on ISO 37301
- Acknowledge the relationship between ISO 37301 and other standards and regulatory frameworks
- Understand the auditor's role in planning, leading, and following up on a CMS audit in accordance with ISO 19011
- Interpret the requirements of ISO 37301 in the context of a CMS audit
- Plan an audit, lead a team of auditors, draft nonconformity reports, and follow up on an audit
- Act with due professional care during an audit

## Targeted Audience:

- Auditors seeking to perform and lead CMS audits
- Managers or consultants seeking to master the CMS audit process
- Individuals responsible for maintaining conformity to ISO 37301 requirements in an organization
- Technical experts seeking to prepare for a CMS audit
- Expert advisors and compliance officers

## Course Outlines:

### Unit 1: Introduction to the compliance management system CMS and ISO 37301

- Training course objectives and structure
- Standards and regulatory frameworks
- Certification process
- Introduction to compliance and CMS based on ISO 37301
- An overview of ISO 37301 requirements – Clauses 4 to 10

### Unit 2: Audit principles and the preparation for and initiation of an audit

- Fundamental audit concepts and principles
- The impact of trends and technology in auditing
- Evidence-based auditing
- Risk-based auditing
- Initiation of the audit process
- Stage 1 audit

### Unit 3: On-site audit activities

- Preparing for stage 2 audit
- Stage 2 audit
- Communication during the audit
- Audit procedures
- Creating audit test plans

### Unit 4: Closing of the audit

- Drafting audit findings and nonconformity reports
- Audit documentation and quality review
- Closing of the audit
- Evaluation of action plans by the auditor
- Beyond the initial audit
- Managing an internal audit program
- Closing of the training course

### Unit 5: Certification Exam