



CMS ISO 37301 Lead Auditor



20 - 24 May 2024  
Tbilisi (Georgia)



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REF: A2002 DATE: 20 - 24 May 2024 Venue: Tbilisi (Georgia) - Fee: 5830 Euro

## Introduction:

This program is designed to prepare participants for the certification exam only.

The Compliance Management System CMS ISO 37301 Lead Auditor training program serves as a cornerstone for individuals seeking to lead effective compliance audits and drive organizational excellence in regulatory adherence. It empowers them to enhance compliance practices and uphold ethical standards within their organizations.

## Program Objectives:

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

- Conduct thorough audits of Compliance Management Systems CMS based on ISO 37301 standards.
- Assess the effectiveness of compliance processes and controls within organizations.
- Provide actionable recommendations for improving compliance practices and mitigating risks.
- Communicate audit findings clearly and effectively to stakeholders.
- Prepare for ISO 37301 certification exam.

## Targeted Audience:

- Compliance professionals seeking to deepen their understanding of compliance management systems and ISO standards.
- Auditors and consultants aiming to specialize in ISO 37301 compliance audits and certification processes.
- Managers and executives responsible for implementing and overseeing compliance programs within organizations.
- Individuals interested in enhancing their knowledge of compliance management and governance frameworks for career advancement.
- Professionals involved in risk management and corporate governance interested in aligning their practices with international standards.

## Program Outline:

### Unit 1:

#### Introduction to Compliance Management System CMS and ISO 37301:

- Understanding the significance of compliance management in organizational governance.
- Overview of the ISO 37301 standard and its role in establishing an effective CMS.
- Exploring the principles and requirements outlined in ISO 37301.
- Identifying key stakeholders and their roles in compliance management.
- Discussing the benefits of achieving ISO 37301 certification for organizations.

## Unit 2:

### Roles and Responsibilities of an ISO 37301 Lead Auditor:

- Defining the role and responsibilities of an ISO 37301 Lead Auditor.
- Understanding the competencies and skills required to conduct effective compliance audits.
- Communication and collaboration with stakeholders throughout the auditing process.
- Ensuring compliance with auditing standards, procedures, and ethical guidelines.
- Case studies and role-playing exercises to simulate real-world auditing scenarios.

## Unit 3:

### Planning and Initiating an ISO 37301 Audit:

- Steps involved in planning and preparing for an ISO 37301 audit.
- Identifying audit objectives, scope, and criteria.
- Developing audit plans and checklists tailored to the organization's CMS.
- Conducting risk assessments to prioritize audit focus areas.
- Establishing communication channels with auditees and obtaining necessary documentation.

## Unit 4:

### Conducting ISO 37301 Audits:

- Techniques for conducting on-site and remote audits effectively.
- Interviewing techniques to gather information and evidence.
- Documenting audit findings and observations accurately.
- Assessing compliance with ISO 37301 requirements and applicable regulations.

- Addressing non-conformities and providing recommendations for improvement.

## Unit 5:

### Reporting, Follow-Up, and Certification:

- Preparation of audit reports summarizing findings, conclusions, and recommendations.
- Communicating audit results to relevant stakeholders, including management and certification bodies.
- Establishing corrective action plans to address identified non-conformities.
- Conducting follow-up activities to verify the effectiveness of corrective actions.
- Preparation for achieving ISO 37301 certification exam.

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