



ISO 37301 Lead Implementer Compliance Management Training

17 - 21 May 2027
Zoom



ISO 37301 Lead Implementer Compliance Management Training

Ref.: 103600628_82204 **Date:** 17 - 21 May 2027 **Location:** Zoom **Fees:** 3000 **Euro**

Course Overview:

The ISO 37301 Lead Implementer Compliance Management Training Course is an intensive five-day programme designed to develop the practical competence required to initiate, plan, implement, operate, monitor, and continually improve a Compliance Management System based on ISO 37301. The course is structured around the current PECB ISO 37301 Lead Implementer competency framework, covering fundamental CMS concepts, implementation initiation, planning, operational implementation, monitoring, continual improvement, and certification audit preparation.

Through the ISO 37301 Lead Implementer Training, participants move beyond general compliance theory to understand how a structured CMS is translated into organizational governance, policies, responsibilities, risk-based controls, reporting mechanisms, investigations, and measurable improvement. The course integrates practical insights from international guidance on ethical leadership, compliance risk assessment, corporate integrity, internal controls, whistleblowing, business partner management, and programme effectiveness. The supporting materials emphasize that an effective compliance programme requires leadership commitment, clearly assigned responsibilities, risk-based implementation, internal communication, monitoring, and continuous evaluation.

This ISO 37301 Implementation Training is particularly valuable for professionals responsible for Compliance Management System Implementation, regulatory compliance, corporate governance, compliance risk management, and certification readiness. Participants gain a structured approach for developing a CMS that is aligned with organizational context, compliance obligations, business risks, and operational realities.

Target Audience:

- Compliance Managers and Compliance Officers
- Chief Compliance Officers
- Governance, Risk, and Compliance Professionals
- Legal and Regulatory Affairs Professionals
- Risk Managers and Enterprise Risk Professionals
- Internal Auditors and Internal Control Specialists
- Ethics and Integrity Officers
- Corporate Governance Professionals
- Management System Consultants
- ISO Management System Implementers
- Regulatory Compliance Specialists



Targeted Organizational Departments:

- Compliance and Ethics
- Legal and Regulatory Affairs
- Governance, Risk, and Compliance
- Enterprise Risk Management
- Internal Audit and Internal Controls
- Corporate Governance
- Quality and Management Systems
- Procurement and Supply Chain
- Human Resources
- Finance and Accounting
- Operations and Business Process Management
- Executive Management and Board Support Functions

Targeted Industries:

- Banking, Financial Services, and Insurance
- Government and Public Sector Organizations
- Oil, Gas, Energy, and Utilities
- Healthcare and Pharmaceuticals
- Telecommunications and Technology
- Construction, Engineering, and Infrastructure
- Manufacturing and Industrial Operations
- Transportation and Logistics
- Professional and Business Services

Course Offerings:

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

- Interpret the fundamental principles, concepts, and requirements of an ISO 37301-based Compliance Management System.
- Distinguish between a standalone compliance programme and a structured CMS.
- Initiate an ISO 37301 implementation project and develop a viable implementation approach.
- Establish a business case, implementation governance structure, roles, responsibilities, and compliance function.
- Analyze organizational context, interested parties, compliance obligations, and compliance risks.
- Conduct an initial CMS gap analysis and define an appropriate implementation scope.
- Establish compliance objectives, policies, procedures, operational controls, and documented information.
- Develop compliance training, awareness, and communication programmes.
- Implement reporting, raising-concern, investigation, and noncompliance management processes.
- Manage third-party, outsourced, contractual, and external-provider compliance risks.

Training Methodology:

The ISO 37301 Lead Implementer Course uses a practical, implementation-oriented methodology that combines structured instruction with workplace application. Each training day develops a specific stage of the CMS implementation lifecycle, progressing from fundamental compliance concepts to planning, implementation, performance evaluation, continual improvement, and Compliance Audit Preparation.

Participants work through practical implementation scenarios involving compliance obligations, organizational context, compliance risk assessment, implementation planning, policies, third-party controls, reporting channels, investigations, monitoring, and corrective actions. International compliance guidance reinforces the learning approach by illustrating the importance of ethical leadership, risk-based programme design, stakeholder involvement, internal controls, communication, training, reporting mechanisms, and continuous programme evaluation.

Learning methods include facilitator-led discussions, implementation case studies, group exercises, gap-analysis scenarios, compliance risk mapping, policy-development examples, and guided review of management system documentation. Participants examine how compliance requirements can be integrated into everyday business operations instead of operating as a disconnected control function.

The methodology also uses reflective review sessions to consolidate learning at the end of each day. The final day connects the full implementation lifecycle with the PECB competency domains and certification examination framework. This approach makes the **ISO 37301 CMS Training** relevant for professionals who need both implementation knowledge and practical organizational application.

Course Toolbox:

Participants will receive guidance, insights, and examples related to tools commonly used in an ISO 37301 implementation project. These tools are **not provided as proprietary software or guaranteed operational systems**; instead, the course introduces practical examples, structures, and approaches relevant to the implementation of a CMS.

- ISO 37301 CMS implementation roadmap example
- CMS implementation project plan example
- Organizational context analysis framework
- Interested-party analysis example
- Compliance obligations register example
- CMS gap-analysis approach
- Compliance risk assessment methodology
- Compliance risk register example
- Compliance risk heat map example
- CMS scope definition guide
- Compliance objectives and KPI examples

Course Agenda:

Day 1: ISO 37301 Fundamentals and Initiation of a CMS Implementation

- **Topic 1:** ISO 37301 Principles, Concepts, Terminology, and the Compliance Management System Framework
- **Topic 2:** Compliance Obligations, Regulatory Requirements, International Standards, Contracts, and Internal Policies
- **Topic 3:** Compliance Programmes versus an ISO 37301 Compliance Management System
- **Topic 4:** Initiating the CMS Implementation Project and Selecting the Implementation Approach
- **Topic 5:** Building the CMS Business Case, Project Governance, and Implementation Objectives
- **Topic 6:** Leadership, Governing Body Responsibilities, Compliance Culture, and the Compliance Function
- **Reflection & Review:** Reviewing the foundations of the ISO 37301 Lead Implementer role and translating compliance principles into an organizational implementation mandate

Day 2: Planning the ISO 37301 Compliance Management System Implementation

- **Topic 1:** Understanding Organizational Context and Identifying Relevant Interested Parties
- **Topic 2:** Identifying, Analyzing, and Maintaining Compliance Obligations
- **Topic 3:** Conducting a CMS Gap Analysis and Defining the Implementation Scope
- **Topic 4:** Compliance Risk Assessment, Inherent Risk, Controls, and Residual Risk
- **Topic 5:** Establishing Compliance Objectives, Resources, Competence, and Implementation Priorities
- **Topic 6:** Developing the CMS Project Plan, Documented Information, Training, Awareness, and Communication
- **Reflection & Review:** Converting organizational context, obligations, and compliance risks into a structured ISO 37301 implementation plan

Day 3: Implementing and Operating the Compliance Management System

- **Topic 1:** Designing and Implementing CMS Processes, Procedures, and Operational Compliance Controls
- **Topic 2:** Developing and Communicating the Compliance Policy and Code of Conduct
- **Topic 3:** Integrating Compliance Requirements into Procurement, Operations, Commercial Activities, and Contracts
- **Topic 4:** Managing Third Parties, External Providers, Outsourced Processes, and Business Partners
- **Topic 5:** Establishing Raising-Concern, Speak-Up, Reporting, and Whistleblowing Processes
- **Topic 6:** Managing Investigations, Suspected Noncompliance, Actual Violations, and Organizational Response
- **Reflection & Review:** Evaluating whether compliance policies and controls operate effectively across real business processes and external relationships

Day 4: Monitoring, Measurement, Continual Improvement, and Audit Readiness

- **Topic 1:** Monitoring, Measuring, Analyzing, and Evaluating CMS Performance and Effectiveness
- **Topic 2:** Compliance Indicators, Objectives, Reporting, and Evidence of CMS Performance
- **Topic 3:** Designing and Managing the CMS Internal Audit Programme
- **Topic 4:** Conducting Management Review and Evaluating CMS Suitability, Adequacy, and Effectiveness
- **Topic 5:** Managing Nonconformities, Root Causes, Corrective Actions, and Continual Improvement
- **Topic 6:** Preparing the Compliance Management System for the ISO 37301 Certification Audit
- **Reflection & Review:** Integrating performance evaluation, corrective action, and certification readiness into a sustainable compliance improvement cycle



Day 5: ISO 37301 Lead Implementer Certification and Competency Review

- **Topic 1:** Review of Domain 1: Fundamental Principles and Concepts of a Compliance Management System
- **Topic 2:** Review of Domains 2 and 3: CMS Implementation Initiation and Planning
- **Topic 3:** Review of Domain 4: Operational Implementation of the Compliance Management System
- **Topic 4:** Review of Domains 5 and 6: Monitoring, Measurement, and Continual Improvement
- **Topic 5:** Review of Domain 7: Preparing for an ISO 37301 Certification Audit
- **Topic 6:** PECB Examination Preparation and Certification Examination
- **Reflection & Review:** Consolidating the complete ISO 37301 Lead Implementer competency framework and reflecting on how to apply the implementation lifecycle within the participant's organization

FAQ:

What specific qualifications or prerequisites are needed for participants before enrolling in the course?

Participants should ideally have a general understanding of compliance, governance, risk management, internal controls, regulatory requirements, or management systems. Previous experience with ISO standards or organizational compliance is beneficial but not mandatory. Professionals preparing for the **ISO 37301 Lead Implementer Certification Training** will benefit from reviewing the basic principles of management systems and compliance management before attending.

How long is each day's session, and is there a total number of hours required for the entire course?

Each day's session is generally structured to last around 4-5 hours, with breaks and interactive activities included. The total course duration spans five days, approximately 20-25 hours of instruction.



What is the difference between a compliance programme and an ISO 37301 Compliance Management System?

A compliance programme may consist of individual policies, controls, training activities, reporting channels, or regulatory initiatives. An ISO 37301-based Compliance Management System is broader and more systematic. It integrates organizational context, leadership, compliance obligations, risk assessment, objectives, operational controls, performance evaluation, internal audit, management review, and continual improvement into a structured management system.

This distinction is specifically included within the PECB Lead Implementer competency framework. The wider international compliance guidance also demonstrates that effective compliance requires interconnected elements such as leadership, risk assessment, policies, oversight, communication, reporting, investigations, business partner controls, and periodic evaluation rather than isolated compliance activities.

How This Course is Different from Other ISO 37301 Lead Implementer Courses:

The ISO 37301 Lead Implementer Compliance Management Training Course is designed around the full implementation lifecycle rather than treating ISO 37301 as a clause-by-clause theoretical standard. Its structure follows the current PECB competency domains while integrating practical international guidance on corporate integrity, ethical leadership, compliance risk management, internal controls, reporting, investigations, third-party relationships, monitoring, and continual improvement.

A major differentiator is the course's focus on how a CMS actually operates within an organization. Participants examine how to initiate an implementation project, build a business case, define governance, assess compliance risks, develop policies, establish operational controls, manage external parties, investigate concerns, measure performance, and prepare for certification.

The course also incorporates contemporary compliance perspectives. The updated UNODC and UN Global Compact guidance emphasizes integrated governance, stakeholder involvement, ethical leadership, risk assessment, whistleblowing, business partner compliance, programme effectiveness, continuous improvement, and emerging issues affecting modern compliance environments.

As a result, this is not only an ISO 37301 Certification Course or exam-oriented programme. It is a practical Compliance Management System Implementation course designed to help participants understand how to transform ISO 37301 requirements into a credible, risk-based, measurable, and continually improving organizational compliance system.



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Governance, Risk and Compliance Training Courses

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Leadership and Management Training Courses

Legal Training, Procurement and Contracting Courses

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Personal & Self-Development Training Courses

Quality and Operations Management Training Courses

Secretarial and Administration Training Courses

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