



ISO 37301 Compliance Management Systems Foundation



AGILE LEADERS
Training Center

ISO 37301 Compliance Management Systems Foundation

Course Overview:

The ISO 37301 Foundation Training Course for Compliance Management Systems provides participants with a structured and practical introduction to the principles, terminology, requirements, and organizational applications of ISO 37301:2021. Designed as an expanded five-day ISO 37301 Foundation Course, the programme develops a clear understanding of compliance, compliance obligations, compliance risks, organizational integrity, governance responsibilities, and the structure of an effective Compliance Management System.

The course is aligned with the two principal competency domains of the PECB ISO 37301 Foundation programme: fundamental concepts and principles of compliance and the CMS, and the requirements of ISO 37301 Clauses 4 to 10. The PECB examination framework places particular emphasis on the interpretation of Clauses 4–10, which represent the majority of the Foundation examination scope.

Through ISO 37301 Foundation Training, participants examine organizational context, interested parties, compliance obligations, compliance risk assessment, leadership, compliance culture, planning, support, operations, performance evaluation, and continual improvement. ISO 37301 itself is designed for organizations of any size, sector, structure, or jurisdiction and supports the establishment, implementation, evaluation, maintenance, and improvement of an effective compliance management system.

This Compliance Management System Training combines ISO requirements with practical examples from regulatory risk management and corporate compliance practice, giving participants a strong foundation for future progression into advanced implementation or auditing roles.

Target Audience:

- Compliance Officers and Compliance Team Members
- Governance, Risk, and Compliance Professionals
- Risk Management Officers and Analysts
- Internal Audit and Internal Control Professionals
- Legal and Regulatory Affairs Professionals
- Ethics and Integrity Officers
- Quality and Management System Professionals
- Managers and Consultants seeking foundational knowledge of ISO 37301
- Professionals considering a career in compliance management
- Employees responsible for supporting organizational integrity and ethical conduct



Targeted Organizational Departments:

- Compliance and Ethics
- Governance, Risk, and Compliance
- Legal and Regulatory Affairs
- Internal Audit and Assurance
- Enterprise Risk Management
- Corporate Governance
- Internal Control
- Quality and Management Systems
- Human Resources and Organizational Development
- Procurement and Third-Party Management

Targeted Industries:

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

Course Offerings:

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

- Explain the fundamental concepts, principles, terminology, and business value of compliance management.
- Describe the purpose, scope, and structure of an ISO 37301 Compliance Management System.
- Explain the relationship between compliance, governance, risk management, ethics, and organizational integrity.
- Identify compliance obligations arising from legal, regulatory, contractual, voluntary, and internal requirements.
- Understand the fundamentals of compliance risk identification, assessment, and prioritization.
- Interpret the requirements of ISO 37301 Clauses 4 to 10.
- Explain leadership, governing body, management, compliance function, and personnel responsibilities.
- Recognize the role of compliance culture, ethics, awareness, communication, and competence.
- Understand operational controls, raising concerns, investigation processes, and response to noncompliance.
- Explain monitoring, measurement, internal audit, management review, and continual improvement.
- Apply foundational Compliance Risk Management Training concepts to practical organizational scenarios.
- Prepare more effectively for further ISO 37301 Certification Training and advanced compliance management studies.

Training Methodology:

The ISO 37301 Foundation Training uses an interactive corporate learning approach that combines structured instruction with practical interpretation of compliance management requirements. Trainer-led sessions introduce the concepts and terminology of ISO 37301 before participants examine how those requirements operate within realistic organizational environments.

Case studies are used to explore compliance obligations, regulatory exposure, leadership responsibilities, compliance culture, reporting mechanisms, operational controls, and compliance failures. Group exercises allow participants to analyze interested parties, identify regulatory obligations, discuss compliance risks, and evaluate examples of policies and controls. The regulatory risk cycle—identifying activities, identifying regulators and requirements, assessing non-compliance risk, and evidencing compliance—is used as a practical framework for understanding compliance risk management.

Interactive discussions and facilitated comparisons help participants distinguish between compliance risk, noncompliance, nonconformity, corrective action, internal audit, and continual improvement. Short scenario-based quizzes reinforce knowledge across the two Foundation competency domains. The final day includes structured review activities aligned with the Foundation examination emphasis on fundamental concepts and ISO 37301 Clauses 4-10.

The methodology also introduces practical examples of effective compliance programmes, including leadership commitment, risk assessment, reporting frameworks, internal controls, periodic communication, training, monitoring, investigations, and remediation.

Course Toolbox:

Participants will receive insights, examples, and guided exposure to tools relevant to the course. **The tools themselves are not necessarily provided as proprietary software or licensed products.**

- ISO 37301 clause interpretation reference guide
- Compliance terminology and concept reference
- Compliance obligations identification example
- Interested-party analysis example
- Compliance risk assessment example
- Regulatory requirements mapping example
- Compliance policy structure example
- Roles and responsibilities matrix example
- Compliance objectives planning example

Course Agenda:



Day 1: Fundamentals of Compliance and ISO 37301

- **Topic 1:** Introduction to compliance, compliance obligations, and organizational integrity
- **Topic 2:** Purpose, scope, applicability, and benefits of ISO 37301
- **Topic 3:** Structure and principles of an ISO 37301 Compliance Management System
- **Topic 4:** Relationship between compliance, governance, risk, ethics, and internal control
- **Topic 5:** Compliance pillars, modern compliance programmes, and common barriers to compliance
- **Topic 6:** Relationship between ISO 37301 and other management system standards
- **Reflection & Review:** Consolidating the fundamental concepts, terminology, principles, and organizational value of effective compliance management

Day 2: Organizational Context, Leadership, and Compliance Culture

- **Topic 1:** Understanding the organization and its internal and external context
- **Topic 2:** Identifying interested parties and relevant compliance expectations
- **Topic 3:** Defining the scope and boundaries of the Compliance Management System
- **Topic 4:** Leadership and commitment of the governing body and top management
- **Topic 5:** Compliance policy, governance, roles, responsibilities, and authorities
- **Topic 6:** Building a positive compliance culture and reinforcing ethical behaviour
- **Reflection & Review:** Reviewing how organizational context, leadership, accountability, and culture establish the foundation of an effective CMS

Day 3: Compliance Obligations, Risk Assessment, Planning, and Support

- **Topic 1:** Identifying and maintaining legal, regulatory, contractual, and voluntary compliance obligations
- **Topic 2:** Fundamentals of compliance risk identification and assessment
- **Topic 3:** Assessing likelihood, consequences, and priorities of non-compliance
- **Topic 4:** Addressing risks and opportunities and establishing compliance objectives
- **Topic 5:** Resources, competence, awareness, training, and communication
- **Topic 6:** Documented information and evidence of compliance
- **Reflection & Review:** Connecting compliance obligations and compliance risks with planning, competence, communication, and documented evidence

Day 4: Operational Compliance Controls, Raising Concerns, and Investigations

- **Topic 1:** Operational planning and control within the Compliance Management System
- **Topic 2:** Establishing proportionate compliance controls and procedures
- **Topic 3:** Integrating compliance requirements into business and operational processes
- **Topic 4:** Raising concerns, confidential reporting, and protection from retaliation
- **Topic 5:** Fundamentals of investigation processes and handling suspected misconduct
- **Topic 6:** Responding to noncompliance, remediation, and corrective action
- **Reflection & Review:** Reviewing how operational controls, reporting mechanisms, investigations, and remediation support effective compliance



Day 5: Performance Evaluation, Continual Improvement, and Foundation Review

- **Topic 1:** Monitoring, measurement, analysis, and evaluation of compliance performance
- **Topic 2:** Compliance indicators, reporting, feedback sources, and record-keeping
- **Topic 3:** Fundamentals of internal audit within an ISO 37301 CMS
- **Topic 4:** Management review and evaluation of CMS suitability and effectiveness
- **Topic 5:** Nonconformity, corrective action, and continual improvement
- **Topic 6:** Foundation examination domains, revision, and scenario-based practice questions
- **Reflection & Review:** Integrating ISO 37301 Clauses 4–10 into a complete compliance management system and reviewing the two Foundation competency domains

FAQ:

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

No formal qualifications or prior ISO certification are required. The course is designed as an **ISO 37301 Foundation** programme for participants who are new to compliance management or who require a structured understanding of ISO 37301 requirements. Basic familiarity with corporate governance, risk management, legal requirements, internal control, or organizational processes may be helpful but is not mandatory.

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.

Is ISO 37301 only for compliance departments, and does implementing it guarantee that an organization will never experience noncompliance?

No. ISO 37301 is designed for organizations of different sizes and sectors and involves responsibilities across governance, leadership, management, compliance functions, and personnel. Implementation does not guarantee that violations will never occur. Instead, an effective CMS helps an organization prevent, detect, respond to, and continually improve its management of compliance risks.

How This Course is Different from Other ISO 37301 Foundation Training Courses:

The ISO 37301 Foundation Training Course for Compliance Management Systems goes beyond a brief introduction to the terminology of ISO 37301. It is designed as an expanded five-day Compliance Management System Foundation Course that connects the standard's requirements with realistic regulatory, governance, ethical, and organizational challenges.

A key differentiator is the balance between Foundation-level knowledge and practical corporate relevance. Participants study the two recognized Foundation competency domains while also exploring how compliance obligations are identified, how compliance risks are assessed, how leadership shapes culture, how concerns are raised, and how performance is evaluated. The course therefore maintains a Foundation level without drifting into the detailed implementation project management of a Lead Implementer programme or the advanced audit techniques of a Lead Auditor course.

The programme also integrates practical regulatory risk concepts, including identification of regulators and requirements, assessment of non-compliance risk, and evidence of compliance. It further draws on contemporary compliance programme practices involving leadership commitment, risk-based controls, reporting mechanisms, investigations, training, internal controls, monitoring, and remediation.



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