

## ISO 37301 - Certified Lead Implementer

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### ISO 37301 - Certified Lead Implementer — Certification Overview

The ISO 37301 – Certified Lead Implementer Certification is designed to equip professionals with the knowledge and practical skills required to establish, implement, manage, and continually improve an effective Compliance Management System (CMS) in accordance with ISO 37301. This certification enables participants to understand regulatory and ethical obligations, manage compliance risks, promote a strong compliance culture, and support organizational governance. It is ideal for professionals seeking to lead compliance initiatives, support certification audits, and enhance organizational integrity and trust.

ISO 37301:2021 is an international standard that provides requirements and guidance for establishing, implementing, maintaining, and continually improving a Compliance Management System (CMS). The Certified Lead Implementer program equips professionals with in-depth knowledge of compliance principles, risk-based approaches, and governance structures needed to manage compliance obligations effectively.

This certification focuses on the practical implementation of ISO 37301 within organizations. Participants learn how to conduct compliance risk assessments, develop compliance policies and procedures.

### Target Audience

- Compliance & Ethics Professionals
- Risk & Governance Managers
- Legal & Regulatory Affairs Professionals
- Internal & External Auditors
- Senior Management & Business Leaders
- Quality, ESG, HSE & Management System Professionals
- Consultants & Advisory Professionals
- HR Professionals handling ethics & conduct
- Banking, Finance & Highly Regulated Industry Professionals
- Public Sector & Regulatory Officials

### What Modules are covered?

#### Module 1 - Introduction to ISO 37301 & Compliance Management

- Principles of compliance management
- Overview of ISO 37301 requirements
- Benefits of an effective Compliance Management System (CMS)

#### Module 2 - Compliance Context, Leadership & Planning

- Understanding organizational context & stakeholders
- Leadership roles, ethics & compliance culture
- Compliance risk assessment and planning

#### Module 3 - Compliance Risk Management & Controls

- Awareness, training & competence
- Compliance communication & documentation
- Operational compliance and reporting mechanisms

#### Module 4 - Support, Communication & Operations

- Awareness, training & competence
- Compliance communication & documentation
- Operational compliance and reporting mechanisms

#### Module 5 - Performance Evaluation & Improvement

- Monitoring, measurement & compliance audits
- Incident management & corrective actions
- Continuous improvement of the CMS

#### Module 6 - ISO 37301 Implementation & Certification Process

- Step-by-step CMS implementation roadmap
- Integration with other ISO management systems
- Certification process, audit preparation & best practices