



Sample Exam

Exam Name: ISO 37301 - Certified Lead Implementer

Exam Code: ISO-37301-CLI

1. What is the primary purpose of a Compliance Management System (CMS)?

- A. To increase organizational profitability
- B. To identify, manage, and mitigate compliance risks
- C. To replace internal audit functions
- D. To eliminate all organizational risks

Correct Answer: B

2. According to ISO 37301, which factor is most critical in fostering a culture of compliance?

- A. External consultants
- B. Automated compliance software
- C. Commitment and leadership from top management
- D. Government enforcement actions

Correct Answer: C

3. How does ISO 37301 differ from ISO 19600?

- A. ISO 37301 applies only to multinational organizations
- B. ISO 37301 is a certifiable standard, whereas ISO 19600 was a guideline
- C. ISO 19600 emphasized leadership more strongly
- D. ISO 19600 focused more on risk-based thinking

Correct Answer: B

4. What is a key benefit of adopting a risk-based approach in compliance management?

- A. Ensuring equal attention to all risks
- B. Eliminating the need for monitoring activities
- C. Prioritizing resources toward the most significant compliance risks
- D. Reducing employee involvement in compliance

Correct Answer: C

5. Why is organizational culture important in implementing ISO 37301?

- A. It replaces the need for formal compliance policies
- B. It ensures compliance is driven only by external regulations
- C. It influences employee attitudes and behaviors toward compliance
- D. It limits the role of leadership in compliance management

Correct Answer: C

6. What role does continuous improvement play in ISO 37301?

- A. It ensures compliance activities stop once certification is achieved
- B. It focuses only on correcting major compliance breaches
- C. It supports ongoing enhancement of the compliance management system
- D. It eliminates the need for audits

Correct Answer: C

7. Which of the following is emphasized by ISO 37301 regarding stakeholder engagement?

- A. Stakeholders should only be informed after compliance breaches
- B. Engagement is limited to regulators and auditors
- C. Stakeholder needs and expectations should be identified and considered
- D. Stakeholder involvement weakens compliance effectiveness

Correct Answer: C
