

# € TRAINING

ISO 37301 Lead Auditor





# ISO 37301 Lead Auditor

## Introduction:

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

This training program provides comprehensive training on auditing compliance management systems according to ISO 37301 standard. It empowers participants to enhance organizational governance and risk management through effective compliance management practices.

## Program Objectives:

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

- Understand and interpret the requirements of ISO 37301 standard.
- Plan, conduct, report, and follow up on compliance audits effectively.
- Identify non-conformities and opportunities for improvement in compliance management systems.
- Develop and implement corrective action plans to address audit findings.
- Promote continuous improvement in compliance performance and risk management.
- Prepare for the certification exam.

## Targeted Audience:

- Compliance officers and managers.
- Internal auditors specializing in compliance management systems.
- Risk management professionals.
- Quality assurance and compliance managers.
- Personnel involved in implementing and auditing ISO 37301 compliance management systems.

## Program Outlines:

Unit 1:

Introduction to ISO 37301 Standard:

- Overview of ISO 37301 standard and its significance in compliance management.

- Understanding the structure and key requirements of ISO 37301.
- Roles and responsibilities of a lead auditor in auditing compliance management systems.
- Relationship between ISO 37301 and other management system standards.
- Importance of effective compliance management in organizational governance and risk mitigation.

## Unit 2:

### Planning and Preparation for Audits:

- Developing an audit plan based on ISO 37301 requirements.
- Identifying audit objectives, scope, and criteria.
- Conducting risk assessments to prioritize audit activities.
- Gathering necessary documentation and resources for the audit.
- Establishing communication channels with auditees and stakeholders.

## Unit 3:

### Conducting the Audit:

- Techniques for conducting opening and closing meetings with auditees.
- Collecting and evaluating audit evidence to determine conformity.
- Identifying non-conformities and opportunities for improvement.
- Applying effective questioning and interviewing techniques.
- Ensuring impartiality, independence, and objectivity throughout the audit process.

## Unit 4:

### Reporting and Follow-up:

- Preparing clear and concise audit reports reflecting audit findings.
- Communicating audit conclusions and recommendations to relevant stakeholders.
- Developing corrective action plans for addressing non-conformities.
- Monitoring and verifying the implementation of corrective actions.
- Conducting follow-up audits to ensure sustained compliance and improvement.

## Unit 5:

### Leadership and Communication Skills for Lead Auditors:

- Developing effective leadership skills for lead auditors.
- Techniques for building rapport and trust with auditees.
- Building effective communication channels with auditees and stakeholders.
- Resolving conflicts and managing challenging audit situations.
- Providing constructive feedback to auditees and team members.
- Preparation for the certification exam.

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