

ISO 37301 Compliance Management System

Course Outline

Module 1: Introduction to ISO 37301

- Scope
- Normative References
- Terms and Definitions

Module 2: Introduction of Compliance

- What is Compliance?
- Compliance Types

Module 3: Compliance Department

- What is Compliance Monitoring?
- Department Members
- Functions of Compliance Officer
- Common Areas of Compliance

Module 4: Compliance Management System (CMS)

- Compliance Management
- Compliance Management System
- Elements
- Who is Responsible for Compliance Management?
- Risk-Based Compliance Management Solutions

Module 5: Context of the Organisation

- Understanding the
 - Organisation and its Context
 - Needs and Expectations of Interested Parties
- Determining the Scope of the Compliance Management System
- Compliance
 - Management System
 - Obligations
 - Risk Assessment

Module 6: Leadership

- Leadership and Commitment
- Compliance Policy
- Roles, Responsibilities, and Authorities

Module 7: Planning

- Actions to Address Risks and Opportunities
- Compliance Objectives and Planning to Achieve Them
- Planning of Changes

Module 8: Compliance Audit

- Purpose
- How are Compliance Audits Conducted?
- Internal Vs Compliance Audit
- Compliance Audit Procedures
- Understanding Compliance Auditing
- General Principles

Module 9: Compliance Audit Plan

- Audit Universe and Annual Compliance Audit Plans
- Apex Auditable Entities and Audit Units
- Risk Profiling
- Annual Compliance Audit Plans
 - Preparing
 - Components

Module 10: Support

- Resources
- Competence
- Awareness
- Communication
- Documented Information

Module 11: Operation

- Operational Planning and Control
- Establishing Controls and Procedures
- Raising Concerns
- Investigation Processes

Module 12: Performance Evaluation

- Monitoring, Measurement, Analysis, and Evaluation
- Internal Audit
- Management Review

Module 13: Planning Compliance Audits

- Planning for Individual Compliance Audits
- Scope of Audit
- Compliance Audit Objectives
- Criteria
- Materiality
- Risk Assessment
- Compliance Auditing in Digital Environment
- Team Composition
- Intimation to the Auditable Entity

Module 14: Create Effective Compliance Programme

- Key Elements of an Effective Compliance Programme
- Determine Your Compliance Management System

- Consequences of Non-Compliance
- Reduce Risk
- Steps to Create an Effective Compliance Programme

Module 15: Compliance Monitoring

- Monitoring and Auditing
- Framework for Monitoring

Module 16: Improvement

- Continual Improvement
- Nonconformity and Corrective Action
- Monitoring Techniques

Module 17: Compliance Auditor

- Who is a Compliance Auditor?
- Responsibilities
- Requirements

Module 18: Conducting Compliance Audits

- Audit Evidence
- Gathering and Evaluating Evidence
- Documentation
- Communication with the Auditable Entity

Module 19: On-Site Audit Activities

- Opening Meeting
- Document Review
- Detailed Site Inspection
- Staff Interview
- Review Audit Evidence
- Closing Meeting

Module 20: Reporting Compliance Audits

- Introduction
- Forms and Content of Reports
 - Inspection Reports
 - Departmental Appreciation Note
 - Compliance Audit Report
- Follow Up