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## **BROCHURE**

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# **ISO 37301: COMPLIANCE MANAGEMENT SYSTEM TRAINING & CERTIFICATION COURSE**

**ISO Certified Management Systems Consultants, Facilitators and Auditors**

# ISO 37301 Compliance Management System

## What is ISO 37301?

ISO 37301 is a **Type A** management system standard which sets out the requirements and provides guidelines for establishing, developing, implementing, evaluating, maintaining, and continually improving a compliance management system (CMS). A CMS provides organizations a structured approach to meet all compliance obligations, i.e., requirements that they mandatorily have to comply with such as laws, regulations, court rulings, permits, licenses, as well as those that they voluntarily choose to comply with such as internal policies and procedures, codes of conduct, standards, and agreements with communities or NGOs. ISO 37301 can be applied to all organizations, regardless of their size, nature, or complexity of activity. CMS is based upon the principles of integrity, good governance, proportionality, transparency, accountability, and sustainability.

As with the most of management system standards, ISO 37301 also follows the high-level structure (HLS) developed by ISO. The HLS structure defines the common terminology and definitions used, as well as the clause sequence (1 to 10), where the requirements for the CMS are set out in clauses 4 to 10. The HLS enables organizations to integrate various management systems, meaning that organizations can either adopt a CMS as a stand-alone management system or they can integrate it with other existing management systems.

## Didn't ISO already publish a standard on compliance management systems?

Yes, in 2014, ISO 19600 Compliance management systems — Guidelines was published. The main difference between these two standards is that organizations can get certified against ISO 37301 by undergoing a conformity assessment via an independent third party. Nevertheless, ISO 37301 builds and expands upon its predecessor (ISO 19600), and organizations that established a CMS based on the guidelines of ISO 19600 already have a head start in complying with the requirements of ISO 37301.

## Why is ISO 37301 important for organizations?

For organizations seeking growth and long-term success, consistently adhering to compliance obligations is a must, not an option. A CMS based on the requirements and guidance of ISO 37301 equips organizations with a set of tools (policies, processes, and controls) that allows them to establish and maintain a culture of compliance.

Organizations with a CMS based on ISO 37301 commit to sound norms of corporate governance, good practices, and ethical conduct. However, the CMS cannot completely

eliminate the risk of noncompliance. In this regard, ISO 37301's requirements and guidance improve the organization's ability to identify and respond to noncompliance. In some jurisdictions, the existence of a CMS can be an indicator of the organization's due diligence and commitment to compliance which may be useful in limiting legal liability and lowering penalties for contraventions of relevant laws.

ISO 37301 includes requirements that address competence, communication, and awareness. By complying with these requirements, organizations ensure that the vision of the top management is translated and embedded into the conduct of managers and employees. ISO 37301 also requires and encourages the establishment of concise and effective policies, procedures, and controls which set organizations on a path toward a compliance culture and high ethical and integrity standards.

ISO 37301 outlines the quest toward compliance, which begins with setting the tone at the top of the organization. The commitment toward a good compliance culture is articulated by the organization's governing body and top management through a compliance policy and the setting of compliance objectives at various levels. In addition, the governing body and top management are also required to show leadership and commitment by providing the necessary resources, establishing a compliance function, defining the roles and responsibilities and so on. Above all, the governing body and top management should actively and visibly demonstrate their commitment to the CMS through their actions and decisions.

## **Why should you pursue a certification in ISO 37301?**

Internationally recognized, PECB certifications represent peer recognition of an individual's professional capabilities to contribute in an organization's CMS, as an auditor, implementer, or CMS implementation team member. By attending one of our ISO 37301 training courses, you have the opportunity to develop your competence in order to help organizations meet their compliance obligations.

- ISO 37301 Introduction training course is appropriate for professionals who want to have a brief and general understanding of ISO 37301 requirements for a CMS
- ISO 37301 Transition training course is appropriate for professionals who are already acquainted with ISO 19600 and want to update their knowledge.
- ISO 37301 Foundation training course is appropriate for entry-level professionals and members of a compliance team. This two-day training course familiarizes you with ISO 37301 requirements and guidance for a compliance management system.
- ISO 37301 Lead Implementer is a five-day training course that allows you to acquire the necessary knowledge and skills to implement a CMS in an organization, based on the requirements and guidance of ISO 37301.
- ISO 37301 Lead Auditor is also a five-day training course which aims to improve your professional capabilities to audit a CMS based on ISO 37301, in compliance with the guidelines for auditing management systems provided in ISO 19011 and the certification process described in ISO/IEC 17021-1.

## Benefits of implementing ISO 37301 in an organization

By implementing a CMS based on ISO 37301, organizations will be able to:

- Undergo a formal third-party conformity assessment for their CMS
- Develop a positive culture of compliance
- Quickly and effectively address compliance concerns
- Protect their reputation and safeguard their integrity by preventing and detecting unethical conduct
- Improve business opportunities and sustainability
- Carefully consider requirements and expectations of internal and external interested parties
- Develop strong and valuable relationships with regulators
- Increase the confidence of third parties in the organization's capacity to achieve sustained success
- Build customer trust and loyalty

## How do I get started with ISO 37301 training courses?

Considering the rapid development of industries and global market competition, being an ISO 37301 certified professional gives you the opportunity to help your organization continuously meet compliance obligations.

Our experts are willing to assist you in the process of obtaining an ISO 37301 credential and developing your career skills.

# ISO 37301 Lead Implementer

## Why should you attend?

The benefits of implementing a compliance management system (CMS) based on ISO 37301 are manifold: helping the organization avoid or mitigate the costs, risks, and damage of noncompliance, ensuring the long-term sustainability of the organization, promoting trust and confidence, encouraging good governance practices, due diligence, and ethically sound business dealings, etc.

The PECB ISO 37301 Lead Implementer training course provides the knowledge needed to establish, implement, manage, maintain, and continually improve a CMS. It aims to provide an in-depth understanding of ISO 37301 requirements, as well as the best practices and approaches used for the implementation and subsequent maintenance of the compliance management system.

The training course enables you to help organizations establish processes needed to adhere to all compliance obligations and establish controls that proactively prevent noncompliance and contribute to the creation of a culture of integrity, transparency, and openness.

The training course is followed by the certification exam. If you pass, you can apply for the “PECB Certified ISO 37301 Lead Implementer” credential. The “PECB ISO 37301 Lead Implementer” certificate is internationally recognized. It validates your professional capabilities and competences to implement a CMS in an organization based on the requirements of ISO 37301.

## Who should attend?

- Managers, consultants, and compliance officers wishing to develop a thorough understanding of ISO 37301 requirements for a compliance management system
- Managers and consultants seeking a comprehensive CMS implementation framework
- Compliance officers responsible for practicing due diligence with regard to compliance risks
- Individuals wishing to contribute in maintaining organizational integrity by supporting ethical behavior
- Managers and members of governance, risk management, and compliance teams
- Individuals aspiring to become compliance officers or compliance management consultants

## Learning objectives

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

- Explain the concepts, approaches, methods, and techniques used for the implementation and effective management of a CMS
- Explain the relationship between ISO 37301 and other standards and regulatory frameworks
- Interpret the requirements of ISO 37301 from the perspective of an implementer
- Support organizations in establishing, implementing, maintaining, and continually improving their CMS based on ISO 37301
- Prepare an organization to undergo a third-party certification audit

## Educational approach

This training course is learner-centered and contains:

- Approaches and best practices used in compliance management system implementation, operation, maintenance, and continual improvement
- Theoretical basis supported by practical examples, throughout the four days of the training course
- Lecture sessions illustrated with practical examples based on a case study
- Interaction between the trainers and participants by means of questions and discussions
- Stand-alone quizzes and scenario-based quizzes intended to prepare the participants for the certification exam

## Course agenda

**Day 1:** Introduction to ISO 37301 and the initiation of a CMS implementation

**Day 2:** Implementation plan of a CMS

**Day 3:** Implementation of a CMS

**Day 4:** CMS monitoring, continual improvement, and preparation for the certification audit

**Day 5:** Certification exam

## Examination

The PECB Certified ISO 37301 Lead Implementer exam fully meets the requirements of the PECB Examination and Certification Program (ECP). It covers the following competency domains:

**Domain 1:** Fundamental principles and concepts of a compliance management system

**Domain 2:** Initiation of a CMS implementation

**Domain 3:** Planning of a CMS implementation based on ISO 37301

**Domain 4:** Implementation of a CMS based on ISO 37301

**Domain 5:** Monitoring and measurement of a CMS based on ISO 37301

**Domain 6:** Continual improvement of a CMS based on ISO 37301

**Domain 7:** Preparation for a CMS certification audit

## ISO 37301 Lead Auditor

### Why should you attend?

The PECB Certified 37301 Lead Auditor training course enables you to develop the necessary competence to perform compliance management system (CMS) audits by applying widely recognized audit principles, procedures, and techniques.

Many organizations seek competent auditors to determine whether their policies, procedures, and controls adhere to ISO 37301 requirements. This training course aims to help you complete these tasks successfully and intends to reflect the importance of effective CMS audits. In addition, this training course aims to strengthen your knowledge and skills to plan and carry out CMS audits based on the guidelines for auditing management systems provided in ISO 19011 and the certification process described in ISO/IEC 17021-1.

This training course can potentially qualify you to conduct audits on behalf of conformity assessment bodies.

The exercises, quizzes, and case studies provided in this training course are designed to help you practice the most important aspects of a CMS audit: ISO 37301 requirements, auditing principles, tools and techniques used to obtain evidence, leading a team of auditors, conducting interviews with auditee, reviewing documented information, drafting nonconformity reports, and preparing the final audit report.

After successfully completing the training course, you can sit for the exam which is designed to measure your knowledge and skills regarding CMS audits. If you successfully pass the exam, you can apply for the “PECB Certified ISO 37301 Lead Auditor” credential. The “PECB ISO 37301 Lead Auditor” certification validates your professional capabilities and demonstrates that you have the knowledge and skills to audit a CMS based on ISO 37301.

## Who should attend?

The ISO 37301 Lead Auditor training course is intended for:

- Auditors seeking to perform and lead CMS audits
- Managers or consultants seeking to master the CMS audit process
- Individuals responsible for maintaining conformity to ISO 37301 requirements in an organization
- Technical experts seeking to prepare for a CMS audit
- Expert advisors and compliance officers

## Learning objectives

- This training course enables you to:
- Understand the main concepts of a compliance management system (CMS) and its processes based on ISO 37301
- Acknowledge the relationship between ISO 37301 and other standards and regulatory frameworks
- Understand the auditor’s role in planning, leading, and following up on a CMS audit in accordance with ISO 19011
- Interpret the requirements of ISO 37301 in the context of a CMS audit
- Plan an audit, lead a team of auditors, draft nonconformity reports, and follow up on an audit
- Act with due professional care during an audit

## Educational approach

This training course is participant centered and contains:

- Theories, approaches, and best practices used in ISO management system audits
- Lecture sessions illustrated with examples based on case studies that were inspired by real events
- Practical exercises based on a case study which includes role-playing and discussions
- Interaction between participants by means of questions and suggestions
- Quizzes with stand-alone questions and scenario-based questions, tailored to prepare the participants for the certification exam



## Course agenda

**Day 1:** Introduction to the compliance management system (CMS) and ISO 37301

**Day 2:** Audit principles and the preparation for and initiation of an audit

**Day 3:** On-site audit activities

**Day 4:** Closing of the audit

**Day 5:** Certification exam

## Examination

The “PECB Certified ISO 37301 Lead Auditor” exam fully meets the requirements of the PECB Examination and Certification Program (ECP). It covers the following competency domains:

**Domain 1:** Fundamental concepts and principles of a compliance management system

**Domain 2:** Compliance management system requirements

**Domain 3:** Fundamental audit concepts and principles

**Domain 4:** Preparing an ISO 37301 audit

**Domain 5:** Conducting an ISO 37301 audit

**Domain 6:** Closing an ISO 37301 audit

**Domain 7:** Managing an ISO 37301 audit program

## General Information

- Certification and examination fees are included in the price of the training course
- Training material containing over 450 pages of information and practical examples will be distributed
- An attestation of course completion worth 31 CPD (Continuing Professional Development) credits will be issued to the participants who have attended the training course.
- In case of exam failure, you can retake the exam within 12 months for free.

## NOTE

- This is a hybrid (combination of physical and online) training sessions where participants will attend a physical event in Lekki, Nigeria or interact with the instructor in real time through videoconferencing and other online platforms. We will also support participants through other electronic communication platforms such as e-mails and bulletin board postings.
- PECB KATE software will be used to enable participants electronically access all training materials. Participants will have the option of taking a handwritten exam at our Secretariat in Lekki, Lagos or online from the comfort of their offices or homes anywhere in the world through PECB Exams app.

## **Our Expertise**

### **About PECB – Our Partners**

PECB is a certification body for persons, management systems, and products on a wide range of international standards. As a global provider of training, examination, audit, and certification services, PECB offers its expertise on multiple fields, including but not limited to Information Security, IT, Business Continuity, Service Management, Quality Management Systems, Risk & Management, Health, Safety, and Environment.

We help professionals and organizations to show commitment and competence with internationally recognized standards by providing this assurance through the education, evaluation and certification against rigorous, internationally recognized competence requirements. Our mission is to provide our clients comprehensive services that inspire trust, continual improvement, demonstrate recognition, and benefit society as a whole.

### **About International Network for Corporate Social Responsibility (IN-CSR)**

International Network for Corporate Social Responsibility (IN-CSR) is an international team of Corporate Sustainability and Responsibility (CS&R) Consultants and Auditors working to promote best practices in Sub-Saharan Africa. We are registered as a non-Governmental Organisation in Nigeria (No 99264) and a certified training partner with PECB Group Inc a certification body which provides education and certification under ISO/IEC 17024 for individuals, products, services, processes and organizations on a wide range of disciplines.

We are one of Africa's leading Social Responsibility and Corporate Sustainability Consultants focusing on actual implementation of management processes and procedure – SR GAP Analysis, design of implementation tools, Stakeholder Engagement and Management, Measurement and Evaluation, Training on global standards and Awareness creation, Support with audits and third-party certification when required, and continual improvement processes.

IN-CSR is certified by the Federal Ministry of Environment and other related agencies to provide Consultancy Services on Environmental and Social issues including Baseline/Post Impact Studies & Compliance Monitoring and Audit, Waste Management Technology, Engineering Oil & Gas Pollution Control & Remediation.

We have over the years provided industry leading consulting and training programs in support of our various advocacy campaigns and more importantly to support the private sector in building sustainable businesses. IN-CSR is the foremost ISO 26000 Social Responsibility and ISO 20400 Sustainable Procurement and Supply Chain Management certified consultants in Sub Saharan Africa and are also experts in a number of other standards such as – ISO 45001, ISO 9001, ISO 22301, ISO14000, ISO 31000, ISO 37101 and ISO 37301 and guidelines such as the Extractive Industry Transparency Initiative (EITI), the G20 High Level Principles, International Finance Corporation (IFC) Guidelines, the World Bank Good Practice Guidelines, Africa Finance Corporation (AFC Guidelines), the Consumer Protection Framework, the Governance Code, the Nigerian Stock Exchange Sustainability Disclosure Guidelines, as well as international

standards – SAI Standards, IEMA and SA 8000 Platforms. Our management audits are benchmarked on world’s most accepted sustainability auditing platforms – SA 8000, ISO 14001, ISO 26000 and 45001 while sustainability reports are usually based on GRI Standards except when specifically required on other platforms.

IN-CSR was in 2019 appointed by the National Human Rights Commission of Nigeria to lead the review of the National Action Plan (NAP) on Business and Human Rights working in partnership with the senior management of Nigerian Stock Exchange (NSE), key stakeholders of the Organized Private Sector (OPS) and Judges from the National Industrial Court of Nigeria (NICN). We have also continued to participate at the annual Conference of Experts on Public Administration (CEPA), held at the United Nations Head Quarters in New York, contributing to global public governance, and was recognized by Prof Louis Meuleman of the United Nations in his book titled “Public Management and the Metagovernance of Hierarchies, Networks and Markets for this. In the past two years, we have participated as only civil society member from Sub Saharan Africa of the Working Group on Cross Boarder Cartels at the United Nations Conference on Trade and Development (UNCTAD).

In 2021, we trained high-level delegates from the National Information Technology Development Agency (NITDA) on Digital Responsibility and Telecommunications.

In 2022, IN-CSR successfully completed Environmental Audits on over 90 branches of select commercial banks in Nigeria in fulfilment of NESREA regulatory requirements. Our team has also completed full integration of ISO 26000 Social Responsibility Guidance Standard in two global companies – IHS Nigeria Plc and Seplat Energy Plc - both of which involved extensive stakeholder identification, mapping, prioritization, and engagement.

**Our Values are:** Integrity, Professionalism and Fairness. Further detailed information can be found on our webpage <https://www.incsr.org/about-us/>

## **Lead Consultant – Profile**

Eustace Onuegbu is a certified Management Systems Consultant and Audit Partner; the pioneer ISO 26000 Social Responsibility and ISO 20400 Sustainable Procurement Senior Lead Implementer and Master Auditor in Africa; an ISO 37301 Compliance Management, ISO 37101 Sustainable Development in Communities, ISO 14001 Environmental Management, ISO 45001 Occupational Health and Safety, ISO 9001 Quality Management, ISO 31000 Risk Management, ISO 22301 Business Continuity - Senior Lead Implementer and Master Auditor with the Professional Evaluation and Certification Board (PECB), Canada and a Fellow of the Institute of Management Consultants (IMC), Nigeria. He is presently serving as the President of International Network for Corporate Social Responsibility (IN-CSR). He is also the Head, Learning and Development for the Sustainability Professionals Institute of Nigeria (SPIN).

Eustace is the initiator and host of the International Conferences on Business and Human Rights and has worked with leading organizations such as the IHS Nigeria Plc, Seplat Energy Plc, Dangote Industries Ltd, Central Bank of Nigeria; Zenith Bank PLC, FCMB, Centre for

International Governance, and Innovation (CIGI) Canada; The Federal House of Representatives, Abuja; Oil and Gas Free Zones Authority among others on projects focusing on Sustainable Development, Corporate Sustainability and Responsibility, Corporate Governance, Compliance Management, Business Continuity, Risk Management amongst others. In his past 18 years of practice, he has made several representations to international organizations including the United Nations, African Union, ECOWAS, and The Senate of Federal Republic of Nigeria on a wide range of environmental and social impact issues.

Eustace is a leading CS&R expert and an avid advocate of instituting global best practices in the conduct of Corporate Sustainability and Responsibility (CS&R) in Africa. He holds a degree in Marketing from Abia State University in Nigeria, another in International Business and Management from Amsterdam School of Business, The Netherlands, a post graduate degree in International Human Rights Law from Birmingham City University in the United Kingdom and a Doctor of Business in Sustainability candidate at Monarch Business School, Switzerland.

### Document Approval Sheet

Proposal approved by			
Name	Position	Signature	Date

Please, sign and return via electronic mail to [info@incsr.org](mailto:info@incsr.org)

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