

LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 37301 — Compliance Management Systems

ISO Certification Programme



LAPT — London Academy of Professional Training

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Reference MGT-MGS-37301 • ISO Management & Services

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AT A GLANCE

REFERENCE	MGT-MGS-37301
AWARD	Certificate
ASSESSMENT	340 marks — 204 to pass (60%)
PREREQUISITES	None
VALIDITY	Lifetime
AWARDING BODY	LAPT — London Academy of Professional Training

CURRICULUM

1

Compliance Frameworks

5 chapters · 30 classes 85 marks

• 1 Understanding Compliance Frameworks and Their Importance — 6 classes

› 1.1 Define Compliance Frameworks and Their Key Components

› 1.2 Explore the Importance of Compliance in Organizational Culture

› 1.3 Identify Legal and Regulatory Influences on Compliance Frameworks

› 1.4 Analyze Different Types of Compliance Frameworks and Their Applications

› 1.5 Discuss Common Challenges in Implementing Compliance Frameworks

› 1.6 Develop a Strategic Approach to Establishing a Compliance Framework

• 2 Key Components of an Effective Compliance Framework — 6 classes

› 2.1 Define the Core Elements of a Compliance Framework

› 2.2 Identify Legal and Regulatory Requirements for Compliance

› 2.3 Develop Risk Assessment Procedures for Compliance Management

› 2.4 Establish Effective Policies and Procedures for Compliance

› 2.5 Implement Training and Communication Strategies for Compliance

› 2.6 Evaluate and Monitor Compliance Framework Effectiveness

• 3 Regulatory Requirements and Best Practices in Compliance — 6 classes

› 3.1 Identify Key Regulatory Requirements Impacting Compliance

› 3.2 Analyze Best Practices in Developing Compliance Frameworks

› 3.3 Evaluate the Role of Leadership in Compliance Management

› 3.4 Investigate Common Compliance Challenges and Solutions

› 3.5 Develop Practical Strategies for Continuous Compliance Improvement

› 3.6 Implement a Compliance Audit Procedure to Ensure Effectiveness

• 4 Assessing Compliance Risks and Opportunities — 6 classes

› 4.1 Identify Key Compliance Risks in Your Organisation

› 4.2 Analyse External Compliance Drivers and Trends

› 4.3 Evaluate Internal Processes for Compliance Effectiveness

› 4.4 Map Compliance Opportunities to Stakeholder Expectations

› 4.5 Prioritise Compliance Risks Using a Risk Matrix

› 4.6 Develop an Action Plan to Address Identified Compliance Opportunities

• 5 Continuous Improvement and the Role of Leadership in Compliance — 6 classes

› 5.1 Identify Key Elements of Continuous Improvement in Compliance

› 5.2 Assess Leadership Responsibilities in Compliance Management

› 5.3 Analyze the Impact of Leadership on Compliance Culture

› 5.4 Develop Strategies for Effective Leadership in Compliance

› 5.5 Evaluate Continuous Improvement Techniques for Compliance Frameworks

› 5.6 Plan a Leadership Action Plan for Enhancing Compliance Practices

• 1 Understanding Cultural Change in Compliance Management — 6 classes

- › 1.1 Define Cultural Change in Compliance Management
- › 1.2 Identify Key Drivers of Cultural Change
- › 1.3 Assess the Current Compliance Culture in Your Organization
- › 1.4 Explore Strategies for Fostering a Compliance Culture
- › 1.5 Develop a Plan for Implementing Cultural Change
- › 1.6 Evaluate the Impact of Cultural Change on Compliance Outcomes

• 2 Assessing Organizational Culture for Compliance Readiness — 6 classes

- › 2.1 Identify Key Elements of Organizational Culture for Compliance
- › 2.2 Evaluate Current Compliance Readiness in Organizational Culture
- › 2.3 Analyze Employee Perceptions of Compliance Values
- › 2.4 Assess Barriers to Compliance within the Organizational Culture
- › 2.5 Develop Strategies for Enhancing Compliance-Centric Culture
- › 2.6 Implement Action Plans for Cultural Change towards Compliance

• 3 Creating a Vision for Compliance Culture — 6 classes

- › 3.1 Define Compliance Culture and Its Importance
- › 3.2 Identify Key Elements of an Effective Compliance Vision
- › 3.3 Analyze Organizational Values and Their Role in Compliance
- › 3.4 Develop a Tailored Compliance Vision Statement
- › 3.5 Communicate the Compliance Vision to Stakeholders
- › 3.6 Measure the Impact of the Compliance Vision on Culture

• 4 Engaging Stakeholders for Cultural Transformation — 6 classes

- › 4.1 Identify Key Stakeholders for Cultural Change
- › 4.2 Assess Stakeholder Value and Interest in Compliance
- › 4.3 Develop Communication Strategies for Stakeholder Engagement
- › 4.4 Foster Collaboration Among Stakeholders for Compliance Initiatives
- › 4.5 Evaluate the Impact of Stakeholder Engagement on Cultural Transformation
- › 4.6 Create an Action Plan for Sustained Stakeholder Involvement

• 5 Sustaining Cultural Change and Measuring Effectiveness — 6 classes

- › 5.1 Identify Key Factors for Sustaining Cultural Change
- › 5.2 Develop Strategies to Foster Employee Engagement
- › 5.3 Implement Communication Techniques that Reinforce Compliance Values
- › 5.4 Create a Framework for Measuring Cultural Change Effectiveness
- › 5.5 Analyze Data to Assess Compliance Culture Improvements
- › 5.6 Design an Action Plan for Continuous Cultural Development

• 1 Fundamentals of Compliance Performance Metrics — 6 classes

- › 1.1 Define Key Compliance Performance Metrics
- › 1.2 Identify Sources of Compliance Data
- › 1.3 Analyze Historical Compliance Trends
- › 1.4 Develop Compliance Performance Indicators
- › 1.5 Implement a Compliance Measurement Framework
- › 1.6 Review and Adjust Metrics for Continuous Improvement

• 2 Developing Effective Compliance Evaluation Frameworks — 6 classes

- › 2.1 Define Key Components of a Compliance Evaluation Framework
- › 2.2 Identify Metrics for Measuring Compliance Performance
- › 2.3 Develop Tools for Data Collection and Analysis
- › 2.4 Analyze Case Studies of Compliance Frameworks in Action
- › 2.5 Create a Compliance Evaluation Plan for Your Organization
- › 2.6 Present and Critique Compliance Evaluation Framework Proposals

• 3 Data Collection and Analysis Techniques for Compliance Performance — 6 classes

- › 3.1 Identify Key Data Sources for Compliance Performance
- › 3.2 Develop Data Collection Methods for Accurate Compliance Metrics
- › 3.3 Analyze Quantitative Data to Assess Compliance Performance
- › 3.4 Implement Qualitative Analysis Techniques for Compliance Insights
- › 3.5 Interpret Data Findings to Drive Compliance Improvement Strategies
- › 3.6 Create Actionable Reports Based on Compliance Data Analysis

• 4 Benchmarking Compliance Performance Against Standards — 6 classes

- › 4.1 Define Benchmarking in Compliance Context
- › 4.2 Identify Relevant Compliance Standards for Benchmarking
- › 4.3 Assess Current Compliance Performance Metrics
- › 4.4 Analyze Gaps Between Current Performance and Standards
- › 4.5 Develop Action Plans to Address Compliance Gaps
- › 4.6 Implement and Monitor Benchmarking Strategies for Continuous Improvement

• 5 Reporting and Communicating Compliance Performance Findings — 6 classes

- › 5.1 Identify Key Compliance Metrics for Reporting
- › 5.2 Analyze Data Sources for Compliance Performance
- › 5.3 Develop Clear Reporting Frameworks for Findings
- › 5.4 Tailor Communication Strategies for Stakeholders
- › 5.5 Present Compliance Findings Effectively
- › 5.6 Evaluate Impact of Compliance Reporting on Decision Making

• 1 Understanding the Framework of ISO 37301 — 6 classes

- › 1.1 Identify Key Concepts of ISO 37301 Framework
- › 1.2 Explore the Purpose and Benefits of Compliance Management
- › 1.3 Analyze the Principles Guiding ISO 37301 Implementation
- › 1.4 Examine the Structure of the ISO 37301 Standard
- › 1.5 Assess Stakeholder Roles in ISO 37301 Framework
- › 1.6 Develop a Roadmap for Implementing ISO 37301 in Your Organization

• 2 Establishing a Compliance Management System — 6 classes

- › 2.1 Define Compliance Management Systems and Their Importance
- › 2.2 Identify Key Components of ISO 37301 Requirements
- › 2.3 Assess Current Organizational Compliance Practices
- › 2.4 Develop Policies and Procedures Aligned with ISO 37301
- › 2.5 Implement Training Programs for Compliance Awareness
- › 2.6 Evaluate and Monitor Compliance Management System Effectiveness

• 3 Risk Assessment and Compliance Obligations — 6 classes

- › 3.1 Identify Key Compliance Obligations in ISO 37301
- › 3.2 Conduct a Comprehensive Risk Assessment Process
- › 3.3 Analyze Risk Factors and Their Implications
- › 3.4 Prioritize Risks Based on Compliance Impact
- › 3.5 Develop Risk Mitigation Strategies Aligned with ISO 37301
- › 3.6 Implement and Monitor Compliance Risk Management Practices

• 4 Performance Monitoring and Improvement Strategies — 6 classes

- › 4.1 Define Key Performance Indicators for Compliance
- › 4.2 Develop Monitoring Processes for Compliance Performance
- › 4.3 Analyze Data for Performance Improvement Opportunities
- › 4.4 Implement Corrective Actions for Non-Conformance
- › 4.5 Foster a Continuous Improvement Culture within the Organization
- › 4.6 Evaluate the Effectiveness of Monitoring and Improvement Strategies

• 5 Leadership and Cultural Change in Compliance Management — 6 classes

- › 5.1 Analyze Leadership Roles in Compliance Culture
- › 5.2 Assess Organizational Values Impacting Compliance
- › 5.3 Develop a Vision for Compliance Leadership
- › 5.4 Encourage Employee Engagement in Compliance Initiatives
- › 5.5 Implement Strategies for Cultural Change in Compliance
- › 5.6 Evaluate the Effectiveness of Leadership in Compliance Management

• 1 Understanding Compliance Leadership Dynamics — 6 classes

- › 1.1 Define Compliance Leadership and Its Role in Organizations
- › 1.2 Identify Key Traits of Effective Compliance Leaders
- › 1.3 Analyze Compliance Leadership Models and Frameworks
- › 1.4 Assess the Impact of Leadership Styles on Compliance Culture
- › 1.5 Develop Strategies for Enhancing Compliance Leadership Skills
- › 1.6 Implement Practical Scenarios to Apply Compliance Leadership Concepts

• 2 Developing a Compliance Culture — 6 classes

- › 2.1 Assess Current Compliance Culture in Your Organization
- › 2.2 Identify Key Stakeholders for Compliance Leadership
- › 2.3 Develop Communication Strategies for Compliance Awareness
- › 2.4 Implement Training Programs to Foster Compliance Values
- › 2.5 Evaluate Compliance Culture Through Feedback Mechanisms
- › 2.6 Create an Action Plan for Sustaining a Compliance Culture

• 3 Roles and Responsibilities of Compliance Leaders — 6 classes

- › 3.1 Define the Role of a Compliance Leader in Organisations
- › 3.2 Identify Key Responsibilities of Compliance Leaders
- › 3.3 Explore the Relationship Between Compliance Leadership and Organisational Culture
- › 3.4 Assess the Skills Required for Effective Compliance Leadership
- › 3.5 Develop Strategies for Leading Compliance Teams Effectively
- › 3.6 Evaluate Real-World Examples of Successful Compliance Leadership

• 4 Effective Communication in Compliance Management — 6 classes

- › 4.1 Understand the Importance of Communication in Compliance Management
- › 4.2 Identify Key Stakeholders in Compliance Communication
- › 4.3 Develop Clear Communication Objectives for Compliance Messaging
- › 4.4 Employ Effective Communication Techniques for Compliance Training
- › 4.5 Evaluate the Impact of Communication on Compliance Culture
- › 4.6 Create a Communication Plan for Compliance Initiatives

• 5 Measuring and Enhancing Compliance Leadership Effectiveness — 6 classes

- › 5.1 Assessing Current Compliance Leadership Practices
- › 5.2 Identifying Key Performance Indicators for Leadership Effectiveness
- › 5.3 Conducting Stakeholder Feedback Sessions on Leadership Performance
- › 5.4 Developing Action Plans for Leadership Improvement
- › 5.5 Implementing Leadership Development Training Programs
- › 5.6 Evaluating the Impact of Enhanced Leadership on Compliance Outcomes

• 1 Understanding Risk in the Compliance Context — 6 classes

- › 1.1 Define Compliance Risk and Its Importance
- › 1.2 Identify Sources of Risk in Compliance Management
- › 1.3 Analyze Risk Assessment Methods for Compliance
- › 1.4 Evaluate the Impact of Non-Compliance Risks
- › 1.5 Develop Strategies to Mitigate Compliance Risks
- › 1.6 Implement Continuous Improvement Practices in Compliance Risk Management

• 2 Risk Assessment Methodologies for Compliance — 6 classes

- › 2.1 Identify Key Risk Factors in Compliance
- › 2.2 Explain Different Risk Assessment Methodologies
- › 2.3 Evaluate Qualitative vs Quantitative Risk Assessment Techniques
- › 2.4 Conduct a Risk Assessment Using a Case Study
- › 2.5 Prioritize Compliance Risks Based on Assessment Findings
- › 2.6 Develop an Action Plan for Mitigating Compliance Risks

• 3 Integrating Risk Management into Compliance Strategies — 6 classes

- › 3.1 Define Key Concepts in Risk Management for Compliance
- › 3.2 Identify Risks Relevant to Compliance Strategies
- › 3.3 Analyze the Impact of Identified Risks on Compliance Objectives
- › 3.4 Develop Risk Mitigation Plans for Compliance Challenges
- › 3.5 Integrate Risk Management Strategies into Compliance Frameworks
- › 3.6 Evaluate the Effectiveness of Risk Management in Compliance Programs

• 4 Monitoring and Reviewing Compliance Risks — 6 classes

- › 4.1 Identify Key Compliance Risks through Data Analysis
- › 4.2 Evaluate the Effectiveness of Current Compliance Controls
- › 4.3 Develop Monitoring Techniques for Compliance Risk Indicators
- › 4.4 Review Internal Audit Findings Related to Compliance
- › 4.5 Conduct Stakeholder Reviews to Assess Compliance Perceptions
- › 4.6 Create an Action Plan for Addressing Identified Compliance Risks

• 5 Developing a Risk Response Plan for Compliance Challenges — 6 classes

- › 5.1 Identify Compliance Risks in Organizational Context
- › 5.2 Analyze Impact and Likelihood of Compliance Risks
- › 5.3 Develop Risk Evaluation Criteria for Compliance Challenges
- › 5.4 Formulate Risk Response Strategies for Compliance Issues
- › 5.5 Allocate Resources for Effective Risk Mitigation
- › 5.6 Monitor and Review Compliance Risk Response Plans