

LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 37301GOV — Compliance Management Systems

ISO Certification Programme



LAPT — London Academy of Professional Training

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Reference MGT-GOV-37301GOV • ISO Management & Services

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AT A GLANCE

REFERENCE	MGT-GOV-37301GOV
AWARD	Certificate
ASSESSMENT	430 marks — 258 to pass (60%)
PREREQUISITES	None
VALIDITY	Lifetime
AWARDING BODY	LAPT — London Academy of Professional Training

CURRICULUM

1

Compliance Frameworks and Standards

5 chapters · 30 classes 85 marks

• 1 Understanding Compliance Frameworks: Principles and Terminology — 6 classes

› 1.1 Define Key Terms in Compliance Frameworks

› 1.2 Explore the Importance of Compliance Standards

› 1.3 Analyze the Components of a Compliance Framework

› 1.4 Identify Different Types of Compliance Frameworks

› 1.5 Discuss the Role of Leadership in Compliance Management

› 1.6 Evaluate Real-World Examples of Compliance Frameworks

• 2 Overview of ISO Standards: Focus on ISO 37301 — 6 classes

› 2.1 Define ISO 37301 and its Purpose in Compliance Management

› 2.2 Explore the Key Principles of ISO Standards

› 2.3 Identify the Components of a Compliance Management System

› 2.4 Discuss the Integration of ISO 37301 into Organizational Practices

› 2.5 Analyze Case Studies of ISO 37301 Implementation

› 2.6 Develop an Action Plan for ISO 37301 Compliance in Your Organisation

• 3 Integrating Compliance Frameworks into Organizational Governance — 6 classes

› 3.1 Assess Current Governance Structures for Compliance Integration

› 3.2 Identify Key Compliance Frameworks Relevant to Organizational Needs

› 3.3 Develop a Strategy for Integrating Compliance Frameworks into Governance

› 3.4 Engage Stakeholders in the Compliance Integration Process

› 3.5 Create a Monitoring Plan for Compliance Framework Effectiveness

› 3.6 Evaluate and Adjust Governance Strategies Based on Compliance Performance

• 4 Risk Assessment and Mitigation within Compliance Systems — 6 classes

› 4.1 Identify Key Risks in Compliance Management

› 4.2 Analyze Consequences of Compliance Risks

› 4.3 Evaluate Current Risk Mitigation Strategies

› 4.4 Develop Action Plans for Risk Mitigation

› 4.5 Implement Risk Mitigation Measures Effectively

› 4.6 Review and Improve Risk Assessment Processes

• 5 Continuous Improvement and Audit Processes in Compliance Management — 6 classes

› 5.1 Identify Key Components of Continuous Improvement in Compliance

› 5.2 Analyze Audit Processes in Compliance Management

› 5.3 Evaluate the Role of Leadership in Compliance Audits

› 5.4 Develop Strategies for Effective Continuous Improvement

› 5.5 Implement Feedback Mechanisms in Compliance Frameworks

› 5.6 Create an Action Plan for Enhancing Compliance Audits

• 1 Understanding Continuous Improvement Principles in Compliance Management — 6 classes

- › 1.1 Define Continuous Improvement Principles in Compliance Management
- › 1.2 Identify Key Benefits of Continuous Improvement in Compliance
- › 1.3 Analyze Common Methods for Implementing Continuous Improvement
- › 1.4 Evaluate Performance Metrics for Continuous Improvement Initiatives
- › 1.5 Develop Strategies for Embedding Continuous Improvement in Compliance Culture
- › 1.6 Create an Action Plan for Continuous Improvement within Compliance Systems

• 2 Identifying Compliance Gaps and Improvement Opportunities — 6 classes

- › 2.1 Assess Current Compliance Status Using Key Performance Indicators
- › 2.2 Conduct Root Cause Analysis to Identify Compliance Gaps
- › 2.3 Engage Stakeholders to Gather Insights on Improvement Opportunities
- › 2.4 Prioritize Compliance Gaps for Effective Resource Allocation
- › 2.5 Develop Action Plans to Address Identified Compliance Gaps
- › 2.6 Monitor Progress and Adjust Strategies for Continuous Improvement

• 3 Implementing Continuous Improvement Processes within Compliance Frameworks — 6 classes

- › 3.1 Identify Key Areas for Continuous Improvement in Compliance
- › 3.2 Evaluate Current Compliance Processes for Gaps and Inefficiencies
- › 3.3 Develop Measurable Objectives for Compliance Improvement Initiatives
- › 3.4 Implement a Feedback Loop for Continuous Improvement in Compliance
- › 3.5 Utilize Data Analysis to Drive Compliance Decision-Making
- › 3.6 Assess the Impact of Continuous Improvement Efforts on Compliance Outcomes

• 4 Monitoring and Measuring Compliance Improvement Outcomes — 6 classes

- › 4.1 Analyze Current Compliance Metrics for Improvement Insights
- › 4.2 Identify Key Indicators of Compliance Success
- › 4.3 Develop Strategies for Effective Compliance Outcome Measurement
- › 4.4 Implement Monitoring Tools to Track Compliance Progress
- › 4.5 Evaluate the Impact of Compliance Initiatives on Outcomes
- › 4.6 Create an Action Plan for Continuous Compliance Improvement

• 5 Sustaining Continuous Improvement in Compliance Culture — 6 classes

- › 5.1 Define Key Elements of a Compliance Culture
- › 5.2 Identify Barriers to Continuous Improvement in Compliance
- › 5.3 Implement Strategies for Enhancing Compliance Engagement
- › 5.4 Measure Effectiveness of Continuous Improvement Initiatives
- › 5.5 Foster Leadership Commitment to Compliance Culture
- › 5.6 Create an Action Plan for Sustaining Compliance Improvements

• 1 Fundamentals of Leadership in Compliance Management — 6 classes

- › 1.1 Define Key Concepts of Leadership in Compliance Management
- › 1.2 Explore the Role of Ethical Leadership in Compliance
- › 1.3 Identify Stakeholders and Their Interests in Compliance
- › 1.4 Assess the Impact of Leadership Styles on Compliance Culture
- › 1.5 Develop Communication Strategies for Compliance Initiatives
- › 1.6 Create an Action Plan for Effective Leadership in Compliance

• 2 Building a Compliance Culture — 6 classes

- › 2.1 Define Compliance Culture and Its Importance
- › 2.2 Identify Key Characteristics of a Strong Compliance Culture
- › 2.3 Assess Current Organizational Compliance Practices
- › 2.4 Develop Leadership Strategies to Promote Compliance
- › 2.5 Implement Training Programs to Enhance Compliance Awareness
- › 2.6 Evaluate the Impact of Compliance Culture in the Workplace

• 3 Frameworks and Standards for Effective Compliance Leadership — 6 classes

- › 3.1 Identify Key Compliance Frameworks and Standards
- › 3.2 Analyze the Importance of Leadership in Compliance
- › 3.3 Evaluate the Role of Accountability in Compliance Management
- › 3.4 Develop a Strategy for Implementing Compliance Standards
- › 3.5 Create a Communication Plan for Compliance Leadership
- › 3.6 Assess Compliance Effectiveness through Leadership Practices

• 4 Risk Management and Effective Decision-Making — 6 classes

- › 4.1 Identify Risks in Compliance Management
- › 4.2 Analyze Risk Impact on Decision-Making
- › 4.3 Evaluate Risk Mitigation Strategies
- › 4.4 Apply Risk Assessment Tools Effectively
- › 4.5 Develop Action Plans for Risk Responses
- › 4.6 Review and Improve Decision-Making Processes

• 5 Evaluating and Enhancing Compliance Leadership Performance — 6 classes

- › 5.1 Assessing Current Leadership Styles in Compliance Management
- › 5.2 Identifying Key Performance Indicators for Compliance Leaders
- › 5.3 Implementing Feedback Mechanisms for Leadership Evaluation
- › 5.4 Developing Action Plans for Leadership Performance Enhancement
- › 5.5 Leveraging Data Analytics to Drive Leadership Decisions in Compliance
- › 5.6 Cultivating a Culture of Continuous Improvement in Compliance Leadership

• 1 Understanding Compliance Monitoring Frameworks — 6 classes

- › 1.1 Define Compliance Monitoring Frameworks and Their Importance
- › 1.2 Identify Key Components of Effective Monitoring Frameworks
- › 1.3 Explore Different Types of Compliance Audits and Their Purposes
- › 1.4 Analyze Stakeholder Roles in Compliance Monitoring
- › 1.5 Develop Strategies for Implementing a Compliance Monitoring Framework
- › 1.6 Evaluate Case Studies of Successful Compliance Monitoring Practices

• 2 Data Collection Techniques for Compliance Assessment — 6 classes

- › 2.1 Identify Key Data Sources for Compliance Monitoring
- › 2.2 Implement Effective Data Collection Methods
- › 2.3 Evaluate the Quality and Reliability of Data
- › 2.4 Use Technology to Enhance Data Collection
- › 2.5 Analyze Data for Compliance Gaps and Risks
- › 2.6 Develop a Reporting Framework for Compliance Findings

• 3 Developing an Audit Plan for Compliance Evaluation — 6 classes

- › 3.1 Define Key Objectives for the Compliance Audit Plan
- › 3.2 Identify Regulatory and Internal Standards for Auditing
- › 3.3 Assess Resource Requirements for Effective Compliance Audits
- › 3.4 Develop a Timeline for Auditing Activities and Milestones
- › 3.5 Create a Risk Assessment Framework for the Audit Plan
- › 3.6 Establish Reporting Procedures and Follow-up Actions

• 4 Conducting Compliance Audits: Methodologies and Best Practices — 6 classes

- › 4.1 Identify Key Compliance Requirements and Standards
- › 4.2 Understand Different Methodologies for Conducting Compliance Audits
- › 4.3 Develop an Audit Plan and Schedule for Compliance Assessments
- › 4.4 Execute Compliance Audits: Collecting and Analyzing Evidence
- › 4.5 Document Findings and Prepare Effective Audit Reports
- › 4.6 Implement Recommendations and Monitor Compliance Improvements

• 5 Analyzing Audit Findings and Implementing Improvement Actions — 6 classes

- › 5.1 Identify Key Audit Findings and Their Implications
- › 5.2 Categorize Audit Findings for Effective Analysis
- › 5.3 Develop Root Cause Analysis Techniques for Compliance Issues
- › 5.4 Create Action Plans for Addressing Non-Compliances
- › 5.5 Implement Improvement Actions and Measure Impact
- › 5.6 Communicate Audit Outcomes and Improvement Strategies Effectively

• 1 Foundations of Risk Management: Concepts and Terminology — 6 classes

- › 1.1 Define Key Risk Management Terminology
- › 1.2 Identify Types of Risks in Various Contexts
- › 1.3 Explore the Risk Management Framework Components
- › 1.4 Assess the Importance of Risk Appetite and Tolerance
- › 1.5 Implement Basic Risk Assessment Techniques
- › 1.6 Evaluate Risk Mitigation Strategies and Their Effectiveness

• 2 Identifying Risks: Techniques and Tools — 6 classes

- › 2.1 Define Risk in a Compliance Management Context
- › 2.2 Explore Common Types of Risks in Organizations
- › 2.3 Apply SWOT Analysis for Risk Identification
- › 2.4 Utilize the PESTLE Framework to Assess External Risks
- › 2.5 Conduct a Brainstorming Session to Identify Potential Risks
- › 2.6 Develop a Risk Register Based on Identified Risks

• 3 Risk Assessment Methodologies: Frameworks and Processes — 6 classes

- › 3.1 Define Risk Assessment Methodologies and Their Importance
- › 3.2 Identify Key Frameworks for Risk Assessment
- › 3.3 Analyze the Application of Risk Assessment Processes
- › 3.4 Compare Qualitative vs Quantitative Risk Assessment Techniques
- › 3.5 Evaluate Real-World Case Studies in Risk Assessment
- › 3.6 Develop a Risk Assessment Plan Using Chosen Methodologies

• 4 Analyzing Risks: Prioritization and Evaluation — 6 classes

- › 4.1 Identify Key Risk Factors in Compliance Management
- › 4.2 Assessing the Impact of Risks on Organizational Objectives
- › 4.3 Categorizing Risks: Likelihood and Consequence Analysis
- › 4.4 Prioritize Risks Using a Risk Matrix Approach
- › 4.5 Evaluate Risk Mitigation Strategies and Their Effectiveness
- › 4.6 Develop an Action Plan for High-Priority Risks

• 5 Risk Management Plans: Development and Implementation — 6 classes

- › 5.1 Identify Key Components of Risk Management Plans
- › 5.2 Assess Organizational Risk Tolerance Levels
- › 5.3 Develop Strategies for Risk Mitigation and Control
- › 5.4 Create a Risk Assessment Framework for Implementation
- › 5.5 Implement Monitoring and Review Processes for Risk Plans
- › 5.6 Evaluate the Effectiveness of Risk Management Plans

• 1 Understanding Compliance in Strategic Planning — 6 classes

- › 1.1 Define Strategic Compliance and Its Importance
- › 1.2 Identify Key Components of Compliance Management Systems
- › 1.3 Analyze Regulatory Frameworks Relevant to Strategic Planning
- › 1.4 Assess Risks and Opportunities in Compliance Strategy
- › 1.5 Develop Compliance Goals Aligned with Organizational Strategy
- › 1.6 Create Action Plans for Implementing Compliance Initiatives

• 2 Identifying Regulatory Requirements and Stakeholder Expectations — 6 classes

- › 2.1 Define Key Regulatory Frameworks Relevant to Compliance
- › 2.2 Analyze the Role of Stakeholders in Compliance Management
- › 2.3 Identify Sources for Gathering Regulatory Requirements
- › 2.4 Map Stakeholder Expectations to Compliance Requirements
- › 2.5 Develop Strategies for Addressing Regulatory Gaps
- › 2.6 Create a Compliance Checklist Based on Stakeholder Input

• 3 Risk Assessment and Compliance Gap Analysis — 6 classes

- › 3.1 Identify Key Compliance Risks in Your Organization
- › 3.2 Conduct a Thorough Compliance Gap Analysis
- › 3.3 Evaluate the Impact of Compliance Risks on Operational Goals
- › 3.4 Develop Mitigation Strategies for Identified Compliance Gaps
- › 3.5 Prioritize Compliance Risks Based on Severity and Likelihood
- › 3.6 Create an Action Plan for Ongoing Compliance Monitoring

• 4 Developing a Strategic Compliance Framework — 6 classes

- › 4.1 Define Key Components of a Strategic Compliance Framework
- › 4.2 Analyze Organizational Compliance Requirements and Risks
- › 4.3 Design a Customized Compliance Policy Template
- › 4.4 Establish Compliance Roles and Responsibilities Across the Organization
- › 4.5 Develop a Compliance Training and Awareness Program
- › 4.6 Implement Monitoring and Evaluation Mechanisms for Compliance Effectiveness

• 5 Implementing and Monitoring Compliance Strategies — 6 classes

- › 5.1 Define Compliance Objectives Aligned with Strategic Goals
- › 5.2 Identify Key Stakeholders and Their Compliance Roles
- › 5.3 Develop Effective Compliance Communication Strategies
- › 5.4 Create an Action Plan for Compliance Implementation
- › 5.5 Establish Monitoring Mechanisms for Compliance Effectiveness
- › 5.6 Evaluate and Adjust Compliance Strategies Based on Feedback