



# ISO 37301 Lead Implementer Compliance Management Training

12 – 16 July 2027  
Tokyo

## ISO 37301 Lead Implementer Compliance Management Training

**Ref:** 103600628\_108152 **Date:** 12 – 16 July 2027 **Location:** Tokyo **Fees:** 12000 Euro

### Overview

The ISO 37301 Lead Implementer Compliance Management Training provides professionals with the practical competencies required to initiate, plan, execute, monitor, and improve a compliance management system. Moving beyond theoretical requirements, this five-day programme focuses on how to embed formal compliance governance, risk assessment, operational controls, whistleblowing channels, and audit readiness into daily business workflows. Organizations operate in an intricate legal and commercial environment where structured compliance management mitigates operational disruption, protects reputational standing, and reinforces ethical conduct. This course is delivered by Agile Leaders Training Center.

### Who Should Attend

- Compliance managers, compliance officers, and ethics leaders establishing structured management systems.
- Governance, risk, and internal control specialists aligning regulatory obligations with operational processes.
- Legal counsels and regulatory affairs managers overseeing contractual and statutory requirements.
- Internal auditors and quality assurance professionals preparing their organizations for external compliance certification.
- Management consultants and systems implementers guiding clients through structured compliance adoption.

### Departments and Industries

This programme serves cross-functional compliance leaders and operational managers across regulated sectors.

- Compliance, Legal, and Corporate Governance Departments
- Risk Management and Internal Control Functions
- Internal Audit and Assurance Teams
- Procurement, Vendor Management, and Commercial Operations
- Financial Services, Energy, Healthcare, Industrial Manufacturing, and Technology Sectors

### Learning Objectives

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



- Translate the requirements of ISO 37301 into a structured, operational compliance management system.
- Differentiate between an ad-hoc compliance programme and an integrated management system framework.
- Lead an organizational implementation project from business case initiation to final audit preparation.
- Conduct structured compliance risk assessment exercises to evaluate inherent and residual exposures.
- Establish operational controls, reporting channels, and investigation workflows across core operations.
- Develop internal audit schedules and management reviews that foster continual system improvement.

## **Course Agenda**

### **Day 1: Framework Fundamentals and Initiation**

- ISO 37301 principles, core terminology, and governance architecture
- Compliance obligations, legal mandates, contractual terms, and internal codes
- Distinctions between disconnected compliance activities and an integrated management system
- Project initiation steps and selecting an organizational deployment model
- Formulating the business case, project governance, and implementation charters
- Leadership accountability, governing body oversight, and compliance team responsibilities

### **Day 2: Context Analysis and Planning**

- Analyzing internal and external organizational context alongside stakeholder expectations
- Establishing and maintaining registers of compliance obligations
- Performing baseline gap analyses to establish project scope and boundaries
- Conducting compliance risk assessment, consequence analysis, and risk prioritization
- Setting measurable compliance objectives and assigning operational resources
- Building implementation work plans, documented information architectures, and training schedules

### **Day 3: Operational Controls and Whistleblowing**

- Establishing operational compliance controls and preventive procedures across core functions
- Drafting and communicating the organizational compliance policy and code of business conduct
- Integrating compliance checks into procurement, vendor onboarding, and contract execution
- Overseeing third-party risks, outsourced service providers, and business partner relations
- Designing confidential reporting mechanisms, speak-up avenues, and protective procedures
- Managing internal investigations, noncompliance incidents, and organizational corrective measures



## **Day 4: Monitoring, Internal Audit, and Review**

- Monitoring operational indicators, tracking compliance data, and measuring system performance
- Formulating compliance dashboards and evidence reporting mechanisms for senior management
- Establishing internal audit programmes aligned with management system standards
- Conducting structured management reviews to assess system adequacy, suitability, and effectiveness
- Investigating nonconformities, performing root cause analyses, and executing corrective actions
- Preparing operational records, personnel, and documentation for third-party compliance audits

## **Day 5: Competency Consolidation and Audit Readiness**

- Synthesizing fundamental compliance principles and organizational leadership frameworks
- Reviewing implementation initiation workflows and structured planning techniques
- Consolidating operational control measures, third-party governance, and investigation protocols
- Evaluating performance metrics, internal audit practices, and continual improvement routines
- Finalizing audit readiness verification and evidence presentation protocols
- Practical implementation review and professional competency scenario evaluation

## **Practical Exercises**

Participants complete applied scenarios to develop practical implementation documentation and control tools.

- Construct an organizational context analysis matrix identifying key stakeholder compliance expectations.
- Build an operational register detailing statutory, regulatory, and contractual compliance obligations.
- Execute a compliance risk assessment matrix evaluating risk likelihood, impact, and mitigation controls.
- Draft an internal noncompliance escalation workflow and corrective action procedure.

## **FAQs**

### **What specific qualifications or prerequisites are needed for participants before enrolling in the course?**

Participants should possess a general understanding of governance, risk management, internal controls, regulatory affairs, or management system principles. Prior experience with standard management system frameworks is helpful but not strictly required.

### **How long is each day's session, and is there a total number of hours required for the entire course?**

Each day is structured to deliver four to five hours of instruction, including interactive exercises and scenario analyses, totaling approximately twenty to twenty-five instructional hours over the five days.



## **What is the difference between a compliance programme and an ISO 37301 Compliance Management System?**

A standard compliance programme often consists of isolated policies, occasional training sessions, and periodic reviews. An ISO 37301 compliance management system provides a closed-loop framework that embeds leadership accountability, risk assessment, operational controls, performance measurement, internal audit, and continual improvement into operational governance.

### **Conclusion**

This course equips professionals with the methodologies and governance tools needed to lead a compliance management system deployment. Participants return with actionable structures to manage compliance obligations, mitigate operational exposures, and establish institutional integrity across their organizations.