# PECB BEYOND RECOGNITION



## PECB Certified ISO 37301
## Lead Auditor

**Acquire the skills and knowledge necessary to conduct audits of compliance management systems based on ISO 37301 and the guidelines for auditing management systems provided in ISO 19011 and the certification process presented in ISO/IEC 17021-1.**

## 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

# Course agenda                                              Duration: 5 days

### Day 1 | Introduction to the compliance management system (CMS) and ISO 37301

➤ Training course objectives and structure
➤ Standards and regulatory frameworks
➤ Certification process

➤ Introduction to compliance and CMS based on ISO 37301
➤ An overview of ISO 37301 requirements — Clauses 4 to 10

### Day 2 | Audit principles and the preparation for and initiation of an audit

➤ Fundamental audit concepts and principles
➤ The impact of trends and technology in auditing
➤ Evidence-based auditing

➤ Risk-based auditing
➤ Initiation of the audit process
➤ Stage 1 audit

### Day 3 | On-site audit activities

➤ Preparing for stage 2 audit
➤ Stage 2 audit
➤ Communication during the audit

➤ Audit procedures
➤ Creating audit test plans

### Day 4 | Closing of the audit

➤ Drafting audit findings and nonconformity reports
➤ Audit documentation and quality review
➤ Closing of the audit
➤ Evaluation of action plans by the auditor

➤ Beyond the initial audit
➤ Managing an internal audit program
➤ Closing of the training course

### Day 5 | Certification Exam

## 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

## Examination

Duration: 3 hours

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

For specific information about exam type, languages available, and other details, please visit the List of PECB Exams and the Examination Rules and Policies.

# Certification

After successfully completing the exam, you can apply for one of the credentials shown on the table below. You will receive a certificate once you comply with all the requirements related to the selected credential.

For more information about the ISO 37301 certifications and the PECB certification process, please refer to the Certification Rules and Policies.

| Credential | Exam | Professional experience | MS audit/ assessment experience | Other requirements |
|---|---|---|---|---|
| **PECB Certified ISO 37301 Provisional Auditor** | PECB Certified ISO 37301 Lead Auditor exam, or equivalent | None | None | Signing the PECB Code of Ethics |
| **PECB Certified ISO 37301 Auditor** | PECB Certified ISO 37301 Lead Auditor exam, or equivalent | Two years, of which one in compliance management | At least 200 hours of audit activities | Signing the PECB Code of Ethics |
| **PECB Certified ISO 37301 Lead Auditor** | PECB Certified ISO 37301 Lead Auditor exam, or equivalent | Five years, of which two in compliance management | At least 300 hours of audit activities | Signing the PECB Code of Ethics |
| **PECB Certified ISO 37301 Senior Lead Auditor** | PECB Certified ISO 37301 Lead Auditor exam, or equivalent | Ten years, of which seven in compliance management | At least 1,000 hours of audit activities | Signing the PECB Code of Ethics |

*Note: PECB certified individuals who possess both the Lead Implementer and Lead Auditor credentials are qualified for the respective **PECB Master Credential**, given they have taken 4 additional Foundation Exams related to this scheme. For more information about the Foundation Exams and the overall Master Requirements, please go to PECB Master Credentials.*

# General information

➤ Certification fees are included in the exam price.

➤ PECB will provide training material of over 450 pages of information and practical examples.

➤ An attendance record worth 31 CPD (Continuing Professional Development) credits will be issued to participants who have attended the training course.

➤ In case of exam failure, the candidate can retake the exam once for free within 12 months following the initial exam date.

For additional information, please contact us at marketing@pecb.com or visit www.pecb.com