

Halderstone



Training module

Auditing Leadership & Governance

Assess whether leadership commitment, policy direction & governance structures credibly steer the management system



Does leadership genuinely steer the management system or only approve policies?

Overview

Leadership and governance define the direction and accountability of a management system. Policies express intent, while governance routines translate that intent into priorities, decisions, and oversight. In practice, policies may exist while leadership involvement remains weak, governance routines are unclear, or system priorities are not visibly shaped by leadership direction.

This module develops the capability to audit whether leadership commitment, policy direction, and governance structures credibly steer the management system. Participants first review how leadership and governance are expected to function in management systems and then learn how auditors test evidence of commitment, policy alignment, and system steering.



Target audience

- Aspiring auditors who want to audit management systems following best practices
- Practising management system auditors who want to strengthen their audit knowledge, judgement, and effectiveness

Is this module for you?

It is a good fit for you if you...

- audit whether leadership genuinely steers the management system.
- seek to assess policy credibility and alignment with organisational priorities.
- want to evaluate leadership involvement, accountability, and governance routines.
- aim to test whether system direction reflects leadership commitment.
- expect to strengthen audit conclusions on leadership and governance effectiveness.

It may be less suitable for you if you...

- prefer to design governance frameworks or leadership structures.
- are looking for policy development or strategy facilitation methods.
- focus primarily on executive coaching or organisational change initiatives.
- do not intend to audit leadership or governance aspects of a management system.

Learning outcomes



Key outcomes

- Assess whether leadership commitment credibly steers the management system
- Test alignment between policy commitments, governance routines, and organisational priorities
- Judge whether leadership oversight and governance structures effectively guide system performance

Additional capabilities

- Detect common leadership and governance failure patterns such as symbolic policies or delegated accountability gaps
- Trace policy commitments through objectives, decisions, and operational evidence
- Select meaningful sampling targets when auditing leadership and governance activities
- Formulate defensible audit conclusions on leadership commitment and governance effectiveness



Agenda

Foundations of leadership, policy, and governance in management systems

How leadership commitment, policy direction, and governance routines define system priorities and accountability

What effective auditing of leadership and governance looks like

How auditors judge whether leadership direction and policy commitments genuinely steer the management system

Testing leadership commitment and accountability

How to evaluate leadership involvement in setting priorities, allocating resources, and overseeing system performance

Building the audit evidence trail from policy to practice

How to trace policy commitments through objectives, decisions, governance routines, and operational evidence

Detecting governance and leadership failure patterns

How auditors recognise symbolic policies, delegated responsibility gaps, and leadership disengagement

Judging credibility of leadership direction and system steering

How auditors distinguish formal leadership endorsement from real governance and oversight

Case-based audit simulation

Applying the learned concepts, methods, and approaches in a realistic case setting

Included materials



Learning materials

- Slide deck
- Participant workbook

Templates & tools

- Audit interview planning tool
- Documented information checklist
- Sampling tool
- Audit analysis worksheets
- Failure pattern library
- Supporting AI prompt set

Confirmation

- Confirmation of participation

Preparation guidance

Assumed background

This module assumes participants can perform basic audit activities and apply evidence-based judgement.

Helpful background includes:

- General understanding of management systems and organisational governance structures
- Ability to follow audit trails across policies, decisions, and operational evidence
- Basic familiarity with leadership responsibilities in management systems

Preparatory modules

Foundation (depending on background)

Useful if you are new to the underlying concepts

- Audit Principles

Supporting (optional)

Helpful but not required to participate effectively

- Audit Communication & Interviewing
- Audit Reporting & Follow-up

Logistics



Available languages

- English
- German

Standard delivery options

- Virtual live teaching
- Blended learning (e-learning + live)

Bespoke delivery options

- On-site delivery at your place
- Content adapted to your organization



Halderstone

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