



CERTIFICATE

This is to certify that

ELSIMAR BARROS

Registration 0006275, has successfully completed the following training conducted by Q Academy

**Lead Auditor ISO 37301:2021
Compliance Management Systems**

Training Date: 08/03/2023 - 15/02/2024

Hourly schedule: 42 hours



Neifer França
Director - Q Academy

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Student: ELSIMAR BARROS**Registration:** 0006275**Syllabus / Hourly schedule**

ABNT NBR ISO/IEC 17021:2016 - Conformity assessment	8 hours
ISO 19011:2018 - Guidelines for auditing management systems	8 hours
Types of compliance	5 hours
Introduction to management systems and ISO 37301:2021	4 hours
Auditing ISO 37301:2021 - Compliance Management Systems	15 hours
Final exam	2 hours

ISO 19011:2018 - Guidelines for auditing management systems

Introduction to audit principles
 Management of audit program
 Ascertainment and interview techniques
 Competence and auditors' evaluation

ABNT NBR ISO/IEC 17021:2016 - Conformity assessment - Requirements for bodies providing audit and certification of management systems

Certification x accreditation
 Competence of auditors
 Determination of objectives, scope and audit criteria
 Conducting audits and communication during audit
 Obtaining and verifying information
 Identification and records of audit findings
 Preparation of audit conclusions
 Closing meeting and conclusions
 Audit report and certification decision

Types of Compliance

Anti-corruption and integrity compliance
 Financial compliance
 Public compliance
 ESG Compliance
 Digital compliance

Introduction to management systems and ISO 37301:2021

Concepts of ISO 37301:2021
 Compliance management systems and ISO 37301
 ISO 37301 x ISO 37001
 Structure of ISO 37301:2021 of requirements
 Terms and definitions
 ISO 17021-13 Competence as the compliance auditor

Auditing ISO 37301:2021 - Compliance Management Systems

Auditing context of the organization and compliance management systems
 Auditing leadership and compliance policy
 Auditing management and planning of compliance management systems
 Auditing support and resources of compliance management systems
 Auditing operation of compliance management systems
 Auditing performance evaluation of compliance management systems
 Auditing improvement of compliance management systems