



# CERTIFICATE

This is to certify that

**SANDRO DE FELIPPE OTTOBONI**

Registration0006559, has successfully completed the following training conducted by Q Academy

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

Training Date: 13/03/2024 - 01/04/2024

Hourly schedule: 42 hours



**Neifer França**  
Director - Q Academy



145 Fagundes Filho Ave, Suite 31/32  
Sao Paulo, SP - 04304010, BR

**Student:** SANDRO DE FELIPPE OTTOBONI

**Registration:** 0006559

### 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 of 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