



# CERTIFICATE

This is to certify that

**FABIANA DO CARMO AGUIAR SANT ANNA**

Has successfully completed the following training conducted by QMS Academy:

**LEAD AUDITOR ISO 37301:2021  
COMPLIANCE MANAGEMENT SYSTEMS**



  
NEIFER FRANÇA  
Director

Student: FABIANA DO CARMO AGUIAR SANT ANNA

Registration: 0009375



Training: Lead Auditor ISO 37301:2021 - Compliance Management Systems

Training Date: 15/10/2024 - 15/04/2025

Total Hours: 42 hours

Final Exam. 7.33

### Topics Addressed

ISO 19011:2018 - Guidelines for Auditing Management Systems  
Introduction and auditing principles  
Audit program management  
Findings and interview techniques  
Competence and evaluation of auditors

ABNT NBR ISO/IEC 17021:2016 - Conformity Assessment  
Certification vs. Accreditation  
International Conformity Assessment System  
Auditor competence  
Determination of audit objectives, scope, and criteria  
Conducting audits and communication during the audit  
Obtaining and verifying information  
Identification and recording of audit findings  
Preparation of audit conclusions  
Closing meeting and conclusions  
Audit Report and certification decision

Introduction to ISO 37301:2021 - Compliance Management System  
Contextualization of ISO 37301  
Compliance Management System and ISO 37301  
ISO 37301 vs. ISO 37001  
ISO 37301 and its requirements structure  
Terms and Definitions  
ISO 17021-13 Competence for compliance auditors

Auditing ISO 37301:2021 - Compliance Management System  
Audit case study for each section of the Standard  
Auditing the organizations context and compliance management system  
Auditing leadership and compliance policy  
Auditing the management and planning of the compliance management system  
Auditing support and resources in compliance management  
Auditing the operation of the compliance management system  
Auditing the performance of compliance management  
Auditing the improvement of the compliance management system