

FABIANA DO CARMO AGUIAR SANT ANNA

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

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