

**JULIA BENSOUSSAN SERRUYA**

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

Student: JULIA BENSOUSSAN SERRUYA

Registration: 0009555

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

Training Date: 27/01/2025 - 05/05/2025

Total Hours: 42 hours

Final Exam: 9.00

### 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