



**International
Standard**

ISO 37304

**Compliance management
systems — Requirements for bodies
providing audit and certification of
compliance management systems**

*Systèmes de management de la conformité — Exigences
pour les organismes d'audit et de certification des systèmes de
management de la conformité*

**First edition
2026-10**

Sample Document

get full document from standards.iteh.ai



COPYRIGHT PROTECTED DOCUMENT

© ISO 2026

All rights reserved.

This ISO publication is protected by copyright and is owned by ISO and/or its licensors.

The content of this ISO publication is provided under licence, not sold. Use is subject to the applicable licence terms issued by ISO, an ISO member body, or an authorized third-party distributor.

Except as required for implementation or expressly permitted by a separate licence, no part of this ISO publication may be reproduced, distributed, modified, used, or made available in any form or by any means – electronic or mechanical, including photocopying, scanning, recording, or posting on internal or external digital platforms.

Any use beyond the scope of the granted rights is prohibited and may result in legal action.

ISO copyright office
CP 401 • CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

Page

Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Principles	2
5 General requirements	2
5.1 Legal and contractual matters	2
5.2 Management of impartiality	2
5.3 Liability and financing	2
6 Structural requirements	2
7 Resource requirements	2
7.1 Competence of personnel	2
7.2 Personnel involved in certification activities	3
7.2.1 Competence requirements for CMS audit teams	3
7.2.2 Competence requirements for other personnel	4
7.3 Use of external auditors and external technical experts	4
7.4 Personnel records	4
7.5 Outsourcing	4
8 Information requirements	4
8.1 Public information	4
8.2 Certification documents	5
8.2.1 General	5
8.2.2 CMS certification documents	5
8.3 Reference to certification and use of marks	5
8.3.1 General	5
8.3.2 Reference to CMS certification	5
8.4 Confidentiality	5
8.4.1 General	5
8.4.2 Access to organizational records	5
8.5 Information exchange between a certification body and its clients	5
9 Process requirements	6
9.1 Pre-certification activities	6
9.1.1 Application	6
9.1.2 Application review	6
9.1.3 Audit programme	6
9.1.4 Determining audit time	6
9.1.5 Multi-site sampling	6
9.1.6 Multiple management systems	7
9.2 Planning audits	7
9.2.1 Determining audit objectives, scope and criteria	7
9.2.2 Audit team selection and assignments	7
9.2.3 Audit plan	8
9.3 Initial certification	8
9.3.1 General	8
9.3.2 Initial certification audit	8
9.4 Conducting audit	8
9.5 Certification decision	8
9.6 Maintaining certification	8
9.6.1 General	8
9.6.2 Surveillance activities	8

9.6.3	Re-certification.....	8
9.6.4	Special audits.....	8
9.6.5	Suspending, withdrawing or reducing the scope of certification.....	9
9.7	Appeals.....	9
9.8	Complaints.....	9
9.9	Client records.....	9
10	Management system requirements for certification bodies	9
Annex A (informative) Further competence considerations for CMS auditing and certification		10
Annex B (normative) CMS audit time.....		14
Bibliography.....		17

Sample Document

get full document from standards.iteh.ai

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

ISO draws attention to the possibility that the implementation of this document may involve the use of (a) patent(s). ISO takes no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at www.iso.org/patents. ISO shall not be held responsible for identifying any or all such patent rights.

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 309, *Governance of organizations*, in collaboration with ISO/CASCO, *Committee on conformity assessment*.

This first edition cancels and replaces ISO/IEC TS 17021-13:2021, which has been technically revised.

The main changes are as follows:

- The content of ISO/IEC TS 17021-13:2021 has been incorporated verbatim as 7.2 on competence requirements, with one modification to 5.1.2, NOTE 1: the text has been incorporated into 7.2.1.2 as a requirement in the final paragraph.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

Certification of the compliance management systems (CMS) of an organization is one means of providing assurance that the organization has implemented a CMS in accordance with its compliance policy and internationally accepted principles for measures to ensure that business activities are conducted in accordance with applicable laws and regulations.

ISO/IEC 17021-1 [\[1\]](#) sets out requirements for bodies which are referred to as “certification bodies providing audit and certification of management systems”. This document sets out requirements in addition to those in ISO/IEC 17021-1 [\[1\]](#) intended to promote international recognition of those certification bodies, and to provide confidence in the effectiveness of CMS of certified organizations. The text in this document follows the structure of ISO/IEC 17021-1 [\[1\]](#).

The CMS certification in accordance with ISO/IEC 17021-1 [\[1\]](#) and this document is not a forensic audit nor a legal review or financial audit. The certification confirms that a client’s CMS meets the requirements specified in ISO 37301 [\[2\]](#).

Sample Document

get full document from standards.iteh.ai

Compliance management systems — Requirements for bodies providing audit and certification of compliance management systems

1 Scope

This document specifies requirements and provides guidance for bodies providing audit and certification of compliance management systems (CMS), in addition to the requirements contained within ISO/IEC 17021-1 [1]. Observance of these requirements is intended to ensure that certification bodies provide audit and certification in a competent, consistent and impartial manner.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 17021-1, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO 37301:2021, *Compliance management systems — Requirements with guidance for use*

ISO 37301, *Compliance management systems — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO 37301 and ISO/IEC 17021-1 apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1

certification audit

audit carried out by an auditing organization independent of the client and the parties that rely on certification, for the purpose of certifying the client's management system

Note 1 to entry: In the definitions which follow, the term “audit” has been used for simplicity to refer to third-party certification audit.

Note 2 to entry: Certification audits include initial, surveillance, re-certification audits, and can also include special audits.

Note 3 to entry: Certification audits are typically conducted by audit teams of those bodies providing certification of conformity to the requirements of management system standards.