ISO 37304:2026-10 (E)

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

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