

ISO 37301:2021 (whole Part)

Audit Checklist

94 audit questions across 7 sections.

HOW TO USE THIS CHECKLIST

Each question has three boxes the auditor fills in during the audit:

1. **Compliance** — the binary headline: Compliant / Non-compliant.
2. **Classification** — where the gap is, four-state grid: Documented / Implemented matrix.
3. **Finding level** — severity: Maj / Min / Obs (Major nonconformity / Minor nonconformity / Observation).

Severity is the auditor's call on the day, against the real finding — no severity is pre-suggested per question.



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Context of the organization

Q1 CLAUSE

ISO 37301 Cl.4.1

Has the organisation determined the external and internal issues relevant to its purpose that affect its ability to achieve the intended results of its compliance management system?

SOURCE VERBATIM

Cite ISO 37301:2021 Clause 4.1.

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

SUGGESTED EVIDENCE TO REQUEST

- Context analysis covering internal/external issues relevant to compliance
- Evidence it is reviewed and kept current

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES:

Has the organisation determined the interested parties relevant to the compliance management system, their relevant requirements, and which of those requirements will be addressed through the CMS?

SOURCE VERBATIM

Cite ISO 37301:2021 Clause 4.2.

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

SUGGESTED EVIDENCE TO REQUEST

- Interested-party register with relevant requirements
- Mapping of which requirements the CMS addresses

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES:

Has the organisation determined the boundaries and applicability of the compliance management system to establish its scope – considering the 4.1 issues, the 4.2 requirements, the compliance obligations (4.5) and the compliance risks (4.6) – with the scope available as documented information?

SOURCE VERBATIM

Cite ISO 37301:2021 Clause 4.3.

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

SUGGESTED EVIDENCE TO REQUEST

- Documented CMS scope statement reflecting 4.1/4.2/4.5/4.6

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES: