SKEDMIA

ISO 37301:2021

Compliance management systems — Requirements with guidance for use

GUIDE

Document Master List

Controlled list of every document supplied in the ISO 37301:2021 kit, with its revision status and owner.

Document control

Document number	GDE-02	**Revision**	0
Document title	Document Master List	**Issue date**	[Date]
Document owner	Management Representative	**Next review**	[Date]
Management system	Compliance Management System	**Classification**	Internal
Standard clauses	7.5	**Status**	For approval

	Name	Position	Signature / Date
Prepared by	[Name]	[Position]	
Reviewed by	[Name]	[Position]	
Approved by	[Name]	[Position]	

Rev.	Date	Description of change	Author
0	[Date]	First issue.	[Name]

Before you issue this document

Replace every highlighted placeholder such as [Organisation Name] with your own details, delete any clause that does not apply to your scope, and have the document approved by the roles named above. Record the approval in the revision history — an auditor will ask who approved it and when.

This master list records every document in the ISO 37301:2021 Complete Documentation Kit. It is the register required by the standard's documented-information clause: when [Organisation Name] adopts the kit, update the revision and issue-date columns as each document is approved, and add any document created locally.

How to use this list

Keep one controlled copy. Every time a document is revised, raise its revision number here and on the document's own cover page. An auditor will normally ask for this list first and sample from it.

Doc. No	Document title	Clause(s)	Owner
00 Read Me First			
GDE-01	Kit Guide and Implementation Roadmap	4.1, 5.1, 6, 7, 8, 9, 10.1	Compliance Function
01 Manual			
MAN-01	Compliance Management System Manual	4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 5.1, 5.2, 5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 9.1, 9.2, 9.3, 10.1, 10.2	Compliance Function
MAN-02	Compliance Governance Charter and Compliance Function Terms of Reference	5.1.1, 5.1.3, 5.3.1, 5.3.2, 5.3.3, 7.1	Governing Body
MAN-03	Scope and Boundaries of the Compliance Management System	4.3, 4.4, 4.5, 4.6	Compliance Function
02 Policies			
POL-01	Compliance Policy	5.2	Top Management
POL-02	Code of Conduct	5.1.1, 5.1.2, 5.3.4, 7.3	Top Management
03 Procedures			
PRO-01	Context of the Organisation and Interested Parties	4.1, 4.2	Compliance Function
PRO-02	Compliance Obligations Procedure	4.5, 4.2, 4.3	Compliance Function
PRO-03	Risks and Opportunities	6.1	Compliance Function
PRO-04	Compliance Risk Assessment Procedure and Methodology	4.6, 6.1	Compliance Function
PRO-05	Objectives and Planning to Achieve Them	6.2	Compliance Function
PRO-06	Planning of Changes to the Compliance Management System	6.3, 4.5, 8.1	Compliance Function
PRO-07	Competence, Training and Awareness	7.2.1, 7.3	Compliance Function

Doc. No	Document title	Clause(s)	Owner
PRO-08	Employment Process Compliance Procedure and Role Due-Diligence Record	7.2.2, 7.2.1, 5.1.1	Compliance Function
PRO-09	Communication	7.4	Compliance Function
PRO-10	Speak-Up Procedure and Anti-Retaliation Protections	8.3, 5.1.1, 7.4	Compliance Function
PRO-11	Control of Documented Information	7.5	Compliance Function
PRO-12	Operational Planning and Control	8.1	Compliance Function
PRO-13	Compliance Controls Procedure	8.2, 8.1	Compliance Function
PRO-14	Monitoring, Measurement, Analysis and Evaluation Procedure and Results Log	9.1.1	Compliance Function
PRO-15	Internal Audit	9.2	Head of Internal Audit
PRO-16	Management Review	9.3	Top Management
PRO-17	Nonconformity, Corrective Action and Continual Improvement	10.2, 10.1	Compliance Function
PRO-18	Compliance Investigation Procedure and Case File Template	8.4, 10.2	Compliance Function
PRO-19	Noncompliance and Consequence Management Procedure	10.2, 5.1.1, 7.2.2	Compliance Function
04 Forms, Registers & Templates			
FRM-01	Compliance Indicator Set and Feedback Sources Map	9.1.2, 9.1.3	Compliance Function
FRM-02	Context and Issues Analysis	4.1	Compliance Function
FRM-03	Roles, Responsibilities and Authorities Matrix	5.3, 5.1	Top Management
FRM-04	Competence Matrix and Training Record	7.2.1, 7.2.3	Compliance Function
FRM-05	Communication Log and Suggestion Form	7.4	Compliance Function
FRM-06	Management of Change Request	6.3, 8.1, 6.1	Compliance Function
FRM-07	Third-Party and Outsourced Process Compliance Assessment	4.6, 8.1	Compliance Function
FRM-08	Internal Audit Plan and Report	9.2.1, 9.2.2	Head of Internal Audit
FRM-09	Management Review Minutes and Actions	9.3.2, 9.3.3	Top Management

Doc. No	Document title	Clause(s)	Owner
FRM-10	Compliance Reporting Pack and Governing Body Oversight Record	9.1.4, 9.3.2, 5.1.1, 5.1.3	Compliance Function
FRM-11	Document Change Request	7.5	Compliance Function
04 Forms, Registers & Templates			
REG-01	Compliance Records Schedule	9.1.5, 7.5.3	Compliance Function
REG-02	Interested Parties and Requirements Register	4.2	Compliance Function
REG-03	Compliance Obligations Register and Obligation Change Log	4.5, 4.2	Compliance Function
REG-04	Risk and Opportunity Register	6.1	Compliance Function
REG-05	Compliance Risk Register	4.6, 6.1	Compliance Function
REG-06	Obligation-to-Control Matrix	4.5, 4.6, 8.2	Compliance Function
REG-07	Objectives and Action Plan Tracker	6.2	Compliance Function
REG-08	Nonconformity and Noncompliance Register	10.2	Compliance Function
REG-09	Concerns Case Log	8.3, 9.1.2	Compliance Function
05 Plans & Programmes			
PLN-01	CMS Implementation Plan	4.1, 6, 8, 9	Compliance Function
PLN-02	Annual Internal Audit Programme	9.2.2	Head of Internal Audit
PLN-03	Control Testing Programme and Test Record	8.2, 9.1.1	Compliance Function
PLN-04	Competence and Training Plan	7.2.1, 7.3	Compliance Function
PLN-05	Compliance Training Programme and Training Records	7.2.3, 7.3, 5.1.2	Compliance Function
PLN-06	Communication Plan	7.4	Compliance Function
PLN-07	Compliance Culture Programme and Culture Assessment	5.1.2, 7.3, 9.1.3	Compliance Function
06 Checklists			

Doc. No	Document title	Clause(s)	Owner
CHK-01	ISO 37301:2021 Gap Analysis Checklist	—	Compliance Function
CHK-02	Internal Audit Checklist	9.2	Head of Internal Audit
CHK-03	Certification Readiness Checklist	—	Compliance Function
07 Internal Auditor Training Pack			
TRN-01	Internal Auditor Participant Handbook	9.2	Compliance Function
TRN-02	Trainer's Guide	9.2	Compliance Function
TRN-03	Presentation Slides Outline	9.2	Compliance Function
TRN-04	Exercises and Case Studies	9.2	Compliance Function
TRN-05	Examination	9.2	Compliance Function
TRN-06	Examination Answer Key and Marking Scheme	9.2	Compliance Function
TRN-07	Course Forms	9.2	Compliance Function
TRN-08	Certificate of Training Template	9.2	Compliance Function

Revision status

Record the approved revision of each document as it is issued. Rows are pre-filled at revision 0 (first issue).

Doc. No	Rev.	Issue date	Approved by	Next review
GDE-01	0	[Date]	[Name]	[Date]
MAN-01	0	[Date]	[Name]	[Date]
MAN-02	0	[Date]	[Name]	[Date]
MAN-03	0	[Date]	[Name]	[Date]
POL-01	0	[Date]	[Name]	[Date]
POL-02	0	[Date]	[Name]	[Date]
PRO-01	0	[Date]	[Name]	[Date]
PRO-02	0	[Date]	[Name]	[Date]
PRO-03	0	[Date]	[Name]	[Date]
PRO-04	0	[Date]	[Name]	[Date]

Doc. No	Rev.	Issue date	Approved by	Next review
PRO-05	0	[Date]	[Name]	[Date]
PRO-06	0	[Date]	[Name]	[Date]
PRO-07	0	[Date]	[Name]	[Date]
PRO-08	0	[Date]	[Name]	[Date]
PRO-09	0	[Date]	[Name]	[Date]
PRO-10	0	[Date]	[Name]	[Date]
PRO-11	0	[Date]	[Name]	[Date]
REG-01	0	[Date]	[Name]	[Date]
PRO-12	0	[Date]	[Name]	[Date]
PRO-13	0	[Date]	[Name]	[Date]
PRO-14	0	[Date]	[Name]	[Date]
FRM-01	0	[Date]	[Name]	[Date]
PRO-15	0	[Date]	[Name]	[Date]
PRO-16	0	[Date]	[Name]	[Date]
PRO-17	0	[Date]	[Name]	[Date]
PRO-18	0	[Date]	[Name]	[Date]
PRO-19	0	[Date]	[Name]	[Date]
FRM-02	0	[Date]	[Name]	[Date]
REG-02	0	[Date]	[Name]	[Date]
REG-03	0	[Date]	[Name]	[Date]
FRM-03	0	[Date]	[Name]	[Date]
REG-04	0	[Date]	[Name]	[Date]
REG-05	0	[Date]	[Name]	[Date]
REG-06	0	[Date]	[Name]	[Date]
REG-07	0	[Date]	[Name]	[Date]
FRM-04	0	[Date]	[Name]	[Date]
FRM-05	0	[Date]	[Name]	[Date]
FRM-06	0	[Date]	[Name]	[Date]
FRM-07	0	[Date]	[Name]	[Date]
FRM-08	0	[Date]	[Name]	[Date]
FRM-09	0	[Date]	[Name]	[Date]
FRM-10	0	[Date]	[Name]	[Date]
REG-08	0	[Date]	[Name]	[Date]
REG-09	0	[Date]	[Name]	[Date]
FRM-11	0	[Date]	[Name]	[Date]

Doc. No	Rev.	Issue date	Approved by	Next review
PLN-01	0	[Date]	[Name]	[Date]
PLN-02	0	[Date]	[Name]	[Date]
PLN-03	0	[Date]	[Name]	[Date]
PLN-04	0	[Date]	[Name]	[Date]
PLN-05	0	[Date]	[Name]	[Date]
PLN-06	0	[Date]	[Name]	[Date]
PLN-07	0	[Date]	[Name]	[Date]
CHK-01	0	[Date]	[Name]	[Date]
CHK-02	0	[Date]	[Name]	[Date]
CHK-03	0	[Date]	[Name]	[Date]
TRN-01	0	[Date]	[Name]	[Date]
TRN-02	0	[Date]	[Name]	[Date]
TRN-03	0	[Date]	[Name]	[Date]
TRN-04	0	[Date]	[Name]	[Date]
TRN-05	0	[Date]	[Name]	[Date]
TRN-06	0	[Date]	[Name]	[Date]
TRN-07	0	[Date]	[Name]	[Date]
TRN-08	0	[Date]	[Name]	[Date]

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ISO 37301:2021

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Clause Cross-Reference Matrix

Shows which kit document answers each clause of ISO 37301:2021 — the table certification bodies ask for at stage 1.

Document control

Document number	GDE-03	**Revision**	0
Document title	Clause Cross-Reference Matrix	**Issue date**	[Date]
Document owner	Management Representative	**Next review**	[Date]
Management system	Compliance Management System	**Classification**	Internal
Standard clauses	—	**Status**	For approval

	Name	Position	Signature / Date
Prepared by	[Name]	[Position]	
Reviewed by	[Name]	[Position]	
Approved by	[Name]	[Position]	

Rev.	Date	Description of change	Author
0	[Date]	First issue.	[Name]

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Use this matrix to demonstrate that every requirement of ISO 37301:2021 is addressed by documented information. Complete the final column with the evidence or record that proves the requirement is being met in practice, and take it to the stage 1 audit.

Good practice

Auditors use a matrix like this to plan their sample. A complete, honest matrix shortens stage 1 considerably; an aspirational one invites a deeper audit.

Clause	Kit document(s)	Evidence / records in use
4.1	FRM-02, GDE-01, MAN-01, PLN-01, PRO-01	
4.2	MAN-01, PRO-01, PRO-02, REG-02, REG-03	
4.3	MAN-01, MAN-03, PRO-02	
4.4	MAN-01, MAN-03	
4.5	MAN-01, MAN-03, PRO-02, PRO-06, REG-03, REG-06	
4.6	FRM-07, MAN-01, MAN-03, PRO-04, REG-05, REG-06	
5.1	FRM-03, GDE-01, MAN-01	
5.1.1	FRM-10, MAN-02, POL-02, PRO-08, PRO-10, PRO-19	
5.1.2	PLN-05, PLN-07, POL-02	
5.1.3	FRM-10, MAN-02	
5.2	MAN-01, POL-01	
5.3	FRM-03, MAN-01	
5.3.1	MAN-02	
5.3.2	MAN-02	
5.3.3	MAN-02	
5.3.4	POL-02	
6	GDE-01, PLN-01	
6.1	FRM-06, MAN-01, PRO-03, PRO-04, REG-04, REG-05	
6.2	MAN-01, PRO-05, REG-07	
6.3	FRM-06, MAN-01, PRO-06	
7	GDE-01	
7.1	MAN-01, MAN-02	
7.2	MAN-01	
7.2.1	FRM-04, PLN-04, PRO-07, PRO-08	
7.2.2	PRO-08, PRO-19	

Clause	Kit document(s)	Evidence / records in use
7.2.3	FRM-04, PLN-05	
7.3	MAN-01, PLN-04, PLN-05, PLN-07, POL-02, PRO-07	
7.4	FRM-05, MAN-01, PLN-06, PRO-09, PRO-10	
7.5	FRM-11, MAN-01, PRO-11	
7.5.3	REG-01	
8	GDE-01, PLN-01	
8.1	FRM-06, FRM-07, MAN-01, PRO-06, PRO-12, PRO-13	
8.2	MAN-01, PLN-03, PRO-13, REG-06	
8.3	MAN-01, PRO-10, REG-09	
8.4	MAN-01, PRO-18	
9	GDE-01, PLN-01	
9.1	MAN-01	
9.1.1	PLN-03, PRO-14	
9.1.2	FRM-01, REG-09	
9.1.3	FRM-01, PLN-07	
9.1.4	FRM-10	
9.1.5	REG-01	
9.2	CHK-02, MAN-01, PRO-15, TRN-01, TRN-02, TRN-03, TRN-04, TRN-05, TRN-06, TRN-07, TRN-08	
9.2.1	FRM-08	
9.2.2	FRM-08, PLN-02	
9.3	MAN-01, PRO-16	
9.3.2	FRM-09, FRM-10	
9.3.3	FRM-09	
10.1	GDE-01, MAN-01, PRO-17	
10.2	MAN-01, PRO-17, PRO-18, PRO-19, REG-08	

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