

ICS 03.120.20

CCS A 00



**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/Z 27021.13-2025

**Conformity assessment - Requirements for bodies providing audit and
certification of management systems - Part 13: Competence requirements for
auditing and certification of compliance management systems**

合格评定 管理体系审核认证机构要求 第13部分：合规管理体系审核与认证能力
要求

Issued on: February 28, 2025

Implemented on: February 28, 2025

**Issued by: State Administration for Market Regulation;
Standardization Administration of the PRC**

Table of Contents

1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 General competence requirements	1
5 Competence requirements for the compliance management system (CMS) audit team ..	1
5.1 Overall requirements	1
5.2 Organizational context	2
5.3 Laws, regulations and other requirements	2
5.4 Compliance risk assessment and control	2
5.5 Compliance management system (CMS)	2
6 Competence requirements for other personnel	2
6.1 Overall requirements	2
6.2 Organizational context	3
Annex A (informative) Knowledge for CMS audit and certification	4
Bibliography	5

1 Scope

The document sets out the specific competence requirements for personnel taking part in the audit and certification of a compliance management system (CMS), and supplements the requirements already given in ISO/IEC 17021-1.

2 Normative references

Two documents are cited as indispensable through normative reference in the text; for dated references only the edition cited applies, and for undated references the latest edition, including all amendments, applies.

ISO/IEC 17021-1:2015 Conformity assessment-Requirements for bodies providing audit and certification of management systems-Part 1: Requirements. A note records the corresponding Chinese document GB/T 27021.1-2017 (ISO/IEC 17021-1:2015, IDT).

ISO 37301:2021 Compliance management systems-Requirements with guidance for use. A note records the corresponding Chinese document GB/T 35770-2022 (ISO 37301:2021, IDT).

3 Terms and definitions

The terms and definitions given in ISO 37301 and in ISO/IEC 17021-1 apply to this document.

4 General competence requirements

The certification body is to determine the competence requirements for each certification function described in Table A.1 of ISO/IEC 17021-1:2015. When determining those competence requirements, the certification body is to meet all the requirements of ISO/IEC 17021-1 together with the requirements given in Clause 5 and Clause 6 of this document.

Note 1 points to Annex A, which outlines the personnel competence requirements for the individual certification functions. Note 2 points to ISO 19011 for information on the principles of auditing.

5 Competence requirements for the CMS audit team

5.1.1 Every member of the audit team is to hold a defined level of competence, including the general competence described in ISO/IEC 17021-1, an understanding of the requirements of ISO 37301 and of how those requirements relate to one another, and the related knowledge described in 5.2 to 5.5.

5.1.2 The competence requirements laid down in 5.2 to 5.5 apply to the scope of the CMS to be audited. A note adds that the members of the audit team need not each hold the same competence, but that the competence of the team as a whole has to be enough to meet the objectives of the audit.

5.2.1 The audit team is to be able to understand the business activities and processes connected with the organization's compliance obligations and compliance risks.

5.2.2 The audit team is to hold the knowledge and skills needed to carry out research related to the organization, so as to identify and understand the applicable compliance obligations and compliance risks.

5.3.1 The audit team is to hold relevant knowledge and to understand different legal systems, laws and regulations, and is to hold the knowledge and skills needed to understand the various types of legal text and how they bear on the organization's compliance obligations.

5.3.2 The audit team is to hold knowledge of the legal framework applicable to the operation of the organization, and to understand the compliance obligations and compliance risks applicable within the scope of the CMS to be audited.

5.3.3 The audit team is to hold knowledge of other applicable requirements, so as to be able to understand how those requirements relate to the compliance obligations and

compliance risks within the scope of the CMS to be audited. A note lists, as examples of other applicable requirements, directives, licence agreements, voluntary codes, standards of the organization and of the sector, contractual relationships, codes of practice and agreements with community groups or non-governmental organizations.

5.4.1 The audit team is to hold knowledge of the compliance risk assessment described in 4.6 of ISO 37301:2021.

5.4.2 The audit team is to hold and understand knowledge of the methods for assessing and treating compliance risks.

5.4.3 The audit team is to hold and understand knowledge of the evaluation of compliance controls.

5.5.1 The audit team is to hold and understand knowledge of establishing and implementing a CMS in accordance with ISO 37301.

5.5.2 The audit team is to hold at least the following knowledge related to the CMS: a) the drivers and indicators of a compliance culture; b) the leadership role that makes the CMS effective; c) the roles and responsibilities of the compliance function; d) compliance training; e) the processes for monitoring, measuring and reporting compliance performance; f) the mechanism for raising concerns and the process for resolving them; g) the process for investigating non-compliance incidents.

6 Competence requirements for other personnel

6.1 Other personnel are the persons who carry out the application review that determines the competence needed in the audit team, who select the members of the audit team and determine the audit time, and who review the audit report and take the certification decision. They are to hold the general competence described in ISO/IEC 17021-1, to understand the requirements of ISO 37301 and how those requirements relate to one another, and to hold the CMS knowledge described in 6.2.

6.2 Other personnel are to hold knowledge related to the operating context of the organization and are to understand the business activities and processes connected with the organization's compliance obligations within the scope of the CMS to be audited.

Annex A Knowledge for CMS audit and certification (informative)

Table A.1 outlines the knowledge needed for CMS audit and certification and shows the range of knowledge needed for each certification function; the competence requirements for each function are set out in Clause 4, Clause 5 and Clause 6.

The table carries one column for the knowledge area and three columns for the certification functions: carrying out the application review to determine the competence needed in the audit team, selecting the team members and determining the audit time; reviewing the audit

report and taking the certification decision; and the audit team itself. Five knowledge areas appear as rows: overall requirements; organizational context; laws, regulations and other requirements; compliance risk assessment and control; and the compliance management system (CMS). The first two rows carry a cross-reference for all three functions; the last three rows carry a cross-reference only in the audit team column and a dash in the other two.

chinastandards.org · PREVIEW