ISO 19600:2014-12 (E)

Compliance management systems - Guidelines

Contents

Page

Foreword iv

Introduction v

1 Scope 1

2 Normative references 1

3 Termsanddefinition 1

4 Context of the organization 5
4.1 Understanding the organization and its context 5
4.2 Understanding the needs and expectations of interested parties 5
4.3 Determining the scope of the compliance management system 5
4.4 Compliance management system and principles of good governance 6
4.5 Compliance obligations 6
4.6 Identification, analysis and evaluation of compliance risks 7

5 Leadership 8
5.1 Leadership and commitment 8
5.2 Compliance policy 9
5.3 Organizational roles, responsibilities and authorities 10

6 Planning 13
6.1 Actions to address compliance risks 13
6.2 Compliance objectives and planning to achieve them 14

7 Support 14
7.1 Resources 14
7.2 Competence and training 14
7.3 Awareness 16
7.4 Communication 17
7.5 Documented information 18

8 Operation 19
8.1 Operational planning and control 19
8.2 Establishing controls and procedures 19
8.3 Outsourced processes 20

9 Performance evaluation 21
9.1 Monitoring, measurement, analysis and evaluation 21
9.2 Audit 25
9.3 Management review 25

10 Improvement 26
10.1 Nonconformity, noncompliance and corrective action 26
10.2 Continual improvement 27

Bibliography 28