

# DIN ISO 19600:2016-12 (E)

## Compliance management systems - Guidelines (ISO 19600:2014)

---

<b>Contents</b>		<b>Page</b>
National foreword .....		3
Introduction .....		4
1	Scope .....	6
2	Normative references .....	6
3	Terms and definition .....	6
4	Context of the organization .....	10
4.1	Understanding the organization and its context .....	10
4.2	Understanding the needs and expectations of interested parties .....	10
4.3	Determining the scope of the compliance management system .....	10
4.4	Compliance management system and principles of good governance .....	11
4.5	Compliance obligations .....	11
4.6	Identification, analysis and evaluation of compliance risks .....	12
5	Leadership .....	13
5.1	Leadership and commitment .....	13
5.2	Compliance policy .....	14
5.3	Organizational roles, responsibilities and authorities .....	15
6	Planning .....	18
6.1	Actions to address compliance risks .....	18
6.2	Compliance objectives and planning to achieve them .....	19
7	Support .....	19
7.1	Resources .....	19
7.2	Competence and training .....	19
7.3	Awareness .....	21
7.4	Communication .....	22
7.5	Documented information .....	23
8	Operation .....	24
8.1	Operational planning and control .....	24
8.2	Establishing controls and procedures .....	24
8.3	Outsourced processes .....	25
9	Performance evaluation .....	26
9.1	Monitoring, measurement, analysis and evaluation .....	26
9.2	Audit .....	30
9.3	Management review .....	30
10	Improvement .....	31
10.1	Nonconformity, noncompliance and corrective action .....	31
10.2	Continual improvement .....	32
Bibliography .....		33