ISO 37301:2021 (E)

Compliance management systems — Requirements with guidance for use

Contents

Foreword

Introduction

- 1 Scope
- 2 Normative references
- 3 Terms and definitions
- 4 Context of the organization
 - 4.1 Understanding the organization and its context
 - 4.2 Understanding the needs and expectations of interested parties
 - 4.3 Determining the scope of the compliance management system
 - 4.4 Compliance management system
 - 4.5 Compliance obligations
 - 4.6 Compliance risk assessment

5 Leadership

- 5.1 Leadership and commitment
- 5.1.1 Governing body and top management
- 5.1.2 Compliance culture
- 5.1.3 Compliance governance
- 5.2 Compliance policy
- 5.3 Roles, responsibilities and authorities
- 5.3.1 Governing body and top management
- 5.3.2 Compliance function
- 5.3.3 Management
- 5.3.4 Personnel

6 Planning

- 6.1 Actions to address risks and opportunities
- 6.2 Compliance objectives and planning to achieve them
- 6.3 Planning of changes

7 Support

- 7.1 Resources
- 7.2 Competence
- 7.2.1 General
- 7.2.2 Employment process
- 7.2.3 Training
- 7.3 Awareness
- 7.4 Communication
- 7.5 Documented information
- 7.5.1 General
- 7.5.2 Creating and updating documented information
- 7.5.3 Control of documented information

8 Operation

- 8.1 Operational planning and control
- 8.2 Establishing controls and procedures
- 8.3 Raising concerns
- 8.4 Investigation processes

- 9 Performance evaluation
 - 9.1 Monitoring, measurement, analysis and evaluation
 - 9.1.1 General
 - 9.1.2 Sources of feedback on compliance performance
 - 9.1.3 Development of indicators
 - 9.1.4 Compliance reporting
 - 9.1.5 Record-keeping
 - 9.2 Internal audit
 - 9.2.1 General
 - 9.2.2 Internal audit programme
 - 9.3 Management review
 - 9.3.1 General
 - 9.3.2 Management review inputs
 - 9.3.3 Management review results

10 Improvement

- 10.1 Continual improvement
- 10.2 Nonconformity and corrective action

Annex A (informative) Guidance for the use of this document

- A.1 Background and Scope
- A.1.1 General
- A.1.2 Scope
- A.2 Normative references
- A.3 Terms and definitions
- A.4 Context of the organization
- A.4.1 Understanding the organization and its context
- A.4.2 Understanding the needs and expectations of interested parties
- A.4.3 Determining the scope of the compliance management system
- A.4.4 Compliance management system
- A.4.5 Compliance obligations
- A.4.6 Compliance risk assessment
- A.5 Leadership
- A.5.1 Leadership and commitment
- A.5.1.1 Governing body and top management
- A.5.1.2 Compliance culture
- A.5.1.3 Compliance governance
- A.5.2 Compliance policy
- A.5.3 Roles, responsibilities and authorities
- A.5.3.1 Governing body and top management
- A.5.3.2 Compliance function
- A.5.3.3 Management
- A.5.3.4 Personnel
- A.6 Planning
- A.6.1 Actions to address risks and opportunities
- A.6.2 Compliance objectives and planning to achieve them
- A.7 Support
- A.7.1 Resources
- A.7.2 Competence
- A.7.2.1 General
- A.7.2.2 Employment process
- A.7.2.3 Training
- A.7.3 Awareness
- A.7.4 Communication
- A.7.5 Documented information
- A.7.5.1 General
- A.7.5.2 Creating and updating documented information
- A.7.5.3 Control of documented information
- A.8 Operation
- A.8.1 Operational planning and control
- A.8.2 Establishing controls and procedures
- A.8.3 Raising concerns
- A.8.4 Investigation processes

- A.9 Performance evaluation
- A.9.1 Monitoring, measurement, analysis and evaluation
- A.9.1.1 General
- A.9.1.2 Sources of feedback on compliance performance
- A.9.1.3 Development of indicators
- A.9.1.4 Compliance reporting
- A.9.1.5 Record-keeping
- A.9.2 Internal audit
- A.9.3 Management review
- A.10 Improvement
- A.10.1 Continual improvement
- A.10.2 Nonconformity and corrective action

Page count: 40