

## Introduction

Organizations that aim to be successful in the long term need to maintain a culture of integrity and compliance, and to consider the needs and expectations of stakeholders. Integrity and compliance are therefore not only the basis, but also an opportunity, for a successful and sustainable organization.

Compliance is an outcome of an organization meeting its obligations, and is made sustainable by embedding it in the culture of the organization and in the behaviour and attitude of people working for it. While maintaining its independence, it is preferable if compliance management is integrated with the organization's financial, risk, quality, environmental and health and safety management processes and its operational requirements and procedures.

## What is ISO 19600?

ISO 19600:2014 provides guidance for establishing, developing, implementing, evaluating, maintaining and improving an effective and responsive compliance management system within an organization.

The guidelines on compliance management systems are applicable to all types of organizations. The extent of the application of these guidelines depends on the size, structure, nature and complexity of the organization. ISO 19600:2014 is based on the principles of good governance, proportionality, transparency and sustainability.

This International Standard does not specify requirements, but provides guidance on compliance management systems and recommended practices.

The guidance in this International Standard is intended to be adaptable, and the use of this guidance can differ depending on the size and level of maturity of an organization's compliance management system and on the context, nature and complexity of the organization's activities, including its compliance policy and objectives. This International Standard can be combined with existing management system standards (e.g. ISO 9001, ISO 14001, ISO 22000) and generic guidelines (e.g. ISO 31000, ISO 26000).

The key topic areas covered are:

- Understanding the scope and context of the compliance management system
- Examining the crucial role played by the organization's leadership
- Understanding the origin of compliance obligations
- Using compliance as a risk mitigation tool
- How to establish compliance objectives
- The use of training to raise awareness and embed a strong culture of compliance
- How to develop effective communication and supporting documentation
- Achieving organizational ownership of the compliance management system through the creation of management-led controls

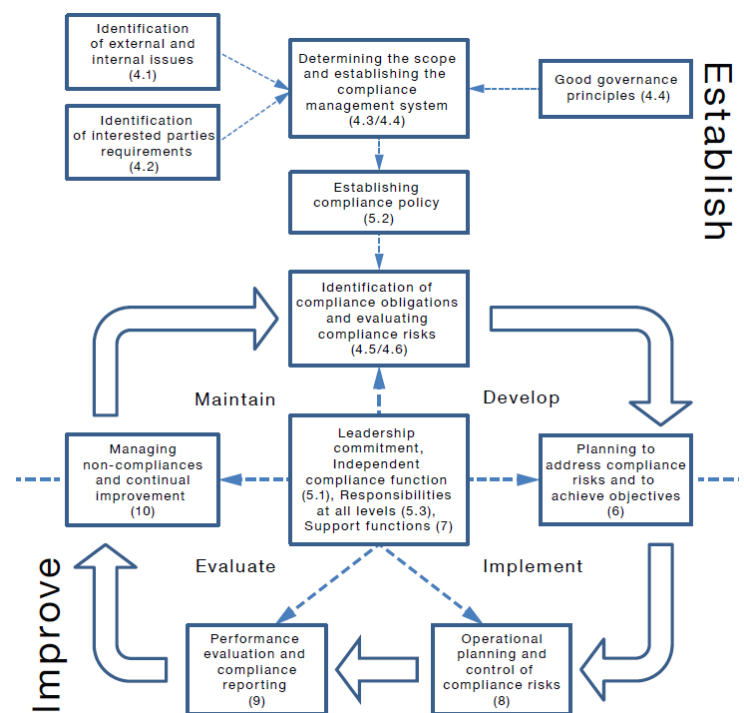


Figure 1 — Flowchart of a compliance management system

- i) How best to monitor the effectiveness of the compliance framework
- j) What actions are necessary to ensure continual improvement of the compliance programme.

## Benefits of ISO 19600?