



ISO 19600:2014

Compliance Management Systems



kiwa | Compass Assurance Services

Self Assessment Checklist

Key Documents

-  Scope of the Compliance Management Systems (CMS)
-  Compliance obligations and plans to achieve
-  Compliance Policy
-  Compliance risks and plans to address
-  Employee competency records
-  Audit programme and audit results
-  Results of management review
-  Non-conformances and actions taken
-  Results of monitoring activities





Context

- Have you determined interested parties and their requirements?
- Do you understand the external and internal issues related to compliance?
- Have you determined the scope of the system and documented it?
- Does your CMS reflect the organisation's values, objectives, strategy and compliance risks?
- Have you identified our compliance obligations and their implications and documented this?
- Do you have a process to identify changes to law and other obligations and do we evaluate these changes and implement changes as appropriate?
- Have you identified, analysed and evaluated compliance risks? Do we re-assess when changes or issues occur?
- Is the compliance function independent and have the authority to act?

Leadership

Board & Top Management Commitment

- Can you demonstrate the board and top management are committed to providing leadership and commitment to the compliance management systems?

Roles & Responsibilities

- Are management and employees aware of their responsibilities towards the compliance management systems?

Roles & Responsibilities

- Is the compliance policy available and understood by all interested parties?
- Is there a frame work for continual improvement?

Planning

- Are plans in place to address compliance risks?
- Are the risks and plans to address them documented?
- Do you have documented compliance objectives at relevant levels and functions and plans to achieve them?

Support

Employee Competence

- Is the competence of employees documented?
- Is a training program provided to ensure employees are able to fulfil their roles?

Awareness and Behaviour

- Are interested parties aware of the policy and are they adhering to it?

Document Control

- Are internal and external documents relating to the CMS approved for use and protected adequately?



Operations

Operational Changes

- Are changes to operations controlled?
- Are consequences of unintended changes reviewed?

Obligations Management

- Are established controls and procedures both internal and outsourced, evaluated to establish their effectiveness?
- Are non-compliance and risks escalated to management?

Procedure Support

- Have you established, documented, implemented and maintained procedures to support the compliance policy?





Performance Evaluation

Monitoring

- Do you have procedures for monitoring processes, schedules, resources and data to be collected?
- Do you evaluate CMS performance and effectiveness?

Review

- Are measurable indicators used to assess achievement of objectives and quantify compliance performance?
- Do you conduct audits at planned intervals and retain documented evidence?
- Does top management review CMS at planned intervals, including policy, objectives, resourcing, changes, and corrective actions

Documentation

- Is documented information maintained, and are recommendations made for policy, processes, and corrective actions?

Improvement

Non-Compliance

- Do you have procedures in place to manage non-compliance?
- Are interested parties aware of the procedures for on-compliance?
- Do you continually improve the effectiveness of the CMS?



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