

# ISO 19600:2014

# **Compliance Management Systems**

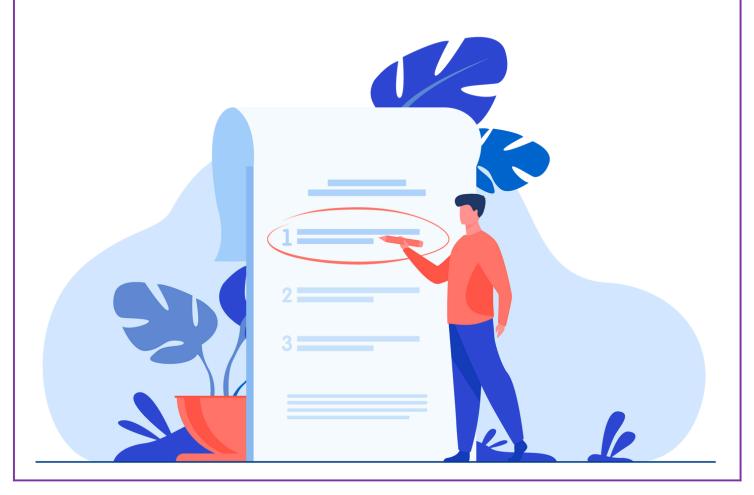




**Self Assessment Checklist** 

# **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 programe and audit results
- Results of management review
- Non-conformances and actions taken
- Results of monitoring activities





## **Context**

4	Have you determined interested parties and their requirements?
	Do you understand the external and internal issues related to compliance?
4	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 reassess when changes or issues occur?
4	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?

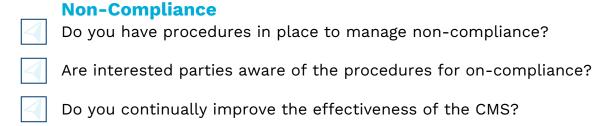
### **Procedure Support**

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





# So What Now?



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