

**SINGAPORE STANDARD**

**Compliance management systems –  
Guidelines**



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*Rio Tinto Singapore Holdings*  
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*UOL Group Limited*

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## National Foreword

This Singapore Standard was prepared by the Working Group on Compliance appointed by the Technical Committee on Enabling Processes which is under the purview of the Management Systems Standards Committee.

This standard is identical with ISO 19600 : 2014 published by the International Organization for Standardization.

The adoption of this Standard helps organizations promote and maintain a culture built on *Integrity* and *Compliance* which is the foundation for long term sustainable success. It can also enhance the organisation's competitive advantage, reputation and its relationships with the community in which it operates. This, in turn, will help in the organisation's ability to attract and retain staff as well as customers.

Attention is drawn to the following:

1. Where the words 'International Standard' appear, they should be read as 'Singapore Standard'.
2. Where the reference, 'ISO 19600' appears, it should be read as 'SS ISO 19600'.

Attention is drawn to the possibility that some of the elements of this Singapore Standard may be the subject of patent rights. Enterprise Singapore shall not be held responsible for identifying any or all of such patent rights.

### NOTE

1. *Singapore Standards (SSs) and Technical References (TRs) are reviewed periodically to keep abreast of technical changes, technological developments and industry practices. The changes are documented through the issue of either amendments or revisions.*
2. *An SS or TR is voluntary in nature except when it is made mandatory by a regulatory authority. It can also be cited in contracts making its application a business necessity. Users are advised to assess and determine whether the SS or TR is suitable for their intended use or purpose. If required, they should refer to the relevant professionals or experts for advice on the use of the document. Enterprise Singapore shall not be liable for any damages whether directly or indirectly suffered by anyone or any organisation as a result of the use of any SS or TR.*
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## **Foreword**

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is Project Committee ISO/PC 271, *Compliance management systems*.

## **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.

An effective, organization-wide compliance management system enables an organization to demonstrate its commitment to compliance with relevant laws, including legislative requirements, industry codes and organizational standards, as well as standards of good corporate governance, best practices, ethics and community expectations.

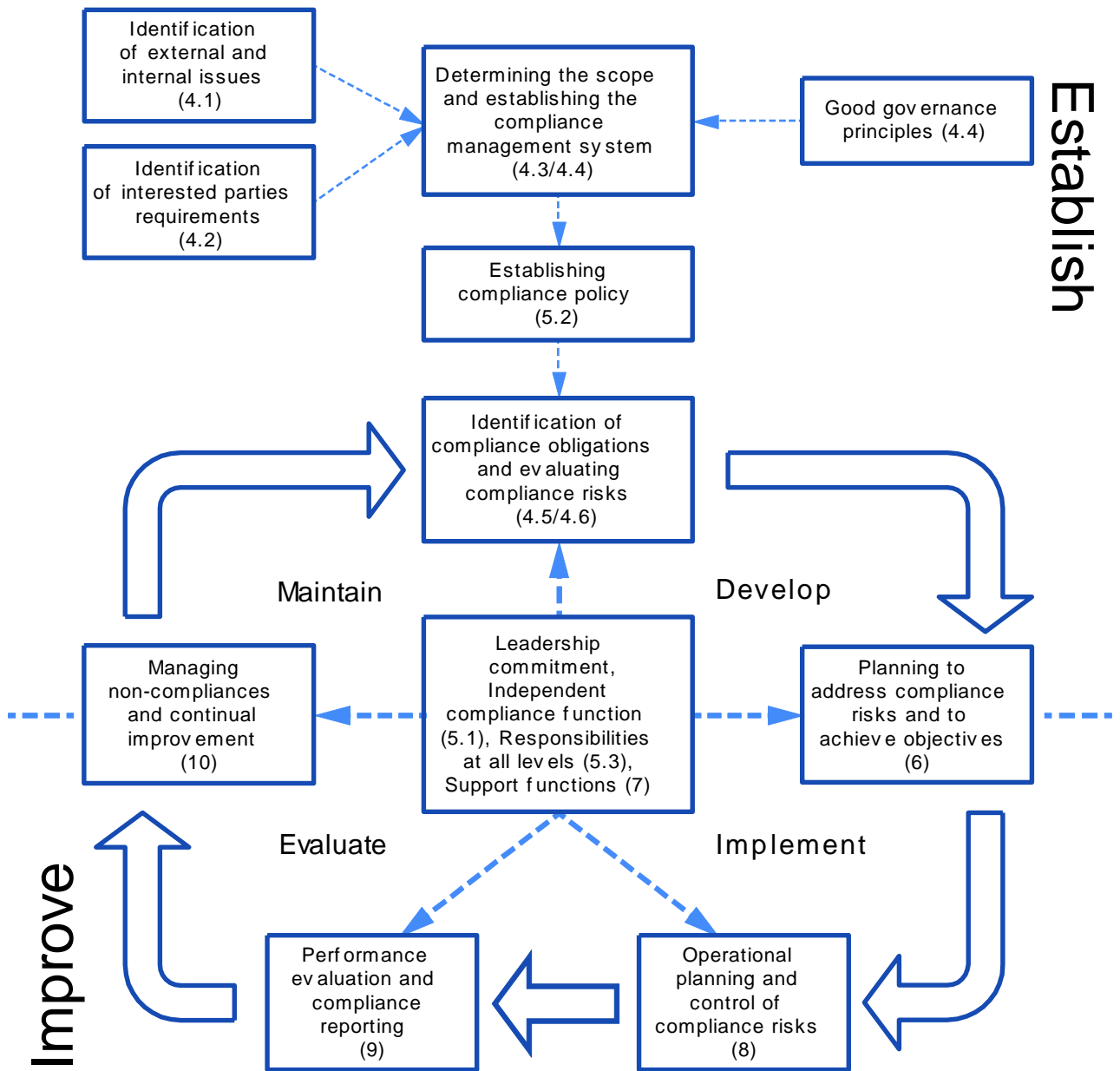
An organization's approach to compliance is ideally shaped by the leadership applying core values and generally accepted corporate governance, ethical and community standards. Embedding compliance in the behaviour of the people working for an organization depends above all on leadership at all levels and clear values of an organization, as well as an acknowledgement and implementation of measures to promote compliant behaviour. If this is not the case at all levels of an organization, there is a risk of noncompliance.

In a number of jurisdictions, the courts have considered an organization's commitment to compliance through its compliance management system when determining the appropriate penalty to be imposed for contraventions of relevant laws. Therefore, regulatory and judicial bodies can also benefit from this International Standard as a benchmark.

Organizations are increasingly convinced that by applying binding values and appropriate compliance management, they can safeguard their integrity and avoid or minimize noncompliance with the law. Integrity and effective compliance are therefore key elements of good, diligent management. Compliance also contributes to the socially responsible behaviour of organizations.

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.

The flowchart in Figure 1 is consistent with other management systems and is based on the continual improvement principle ("Plan-Do-Check-Act").



**Figure 1 — Flowchart of a compliance management system**

This International Standard has adopted the “high-level structure” (i.e. clause sequence, common text and common terminology) developed by ISO to improve alignment among its International Standards for management systems. In addition to its generic guidance on a compliance management system, this International Standard also provides a framework to assist in the implementation of specific compliance-related requirements in any management system.

Organizations that have not adopted management system standards or a compliance management framework can easily adopt this International Standard as stand-alone guidance within their organization.

This International Standard is suitable to enhance the compliance-related requirements in other management systems and to assist an organization in improving the overall management of all its compliance obligations.

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).

# Compliance management systems - Guidelines

## 1 Scope

This International Standard 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. This International Standard is based on the principles of good governance, proportionality, transparency and sustainability.

## 2 Normative references

There are no normative references.