ISO 37301: Guidelines for Effective Compliance Management Systems

Every company, regardless of size, should manage compliance risks. ISO 37301 outlines a systematic approach to compliance management that helps you stay ahead of legal requirements and regulations, prevent significant non-compliance, and improve public image and trust. ISO 37301 provides a framework for effective compliance management systems across multiple industries and regions. The standard is built on good governance, proportionality, transparency, and sustainability.

WHAT IS A COMPLIANCE MANAGEMENT SYSTEM?

A compliance management system is a set of processes designed to ensure that an organization complies with relevant laws, regulations, and codes of conduct. Here are some key elements of a compliance management system that ISO 37301 emphasizes:

- A compliance policy and objectives that align with the company's strategy and objectives
- Risk assessment and management processes that identify, assess, and prioritize compliance risks
- Compliance controls and procedures that prevent or reduce compliance risks
- Monitoring and reviewing processes that track and evaluate compliance performance and effectiveness
- Continuous improvement processes that review and improve the CMS's effectiveness

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ISO 37301 AND ANTI-CORRUPTION MANAGEMENT

ISO 37001 is the international standard for anti-corruption management systems. It specifies the requirements for an anti-bribery management system and helps organizations prevent bribery and comply with anti-bribery laws and regulations.

ISO 37001 and ISO 37301 share many principles and requirements, such as a risk-based approach and the PDCA process cycle. Combining these two standards can help companies holistically manage compliance and anti-corruption risks.

THE BENEFITS OF A COMPLIANCE MANAGEMENT SYSTEM

1. IMPROVED PUBLIC IMAGE AND TRUST

Implementing a compliance management system according to ISO 37301 demonstrates that your company takes compliance risks seriously and follows the most comprehensive guidelines. It increases the confidence that customers, employees, and suppliers have in your company.

2. EVIDENCE OF CORPORATE DUE DILIGENCE COMPLIANCE

In the event of non-compliance, demonstrating that your organization has an effective CMS that meets international standards can serve as evidence of due diligence compliance, helping to mitigate legal consequences.

3. EASY INTEGRATION WITH OTHER MANAGEMENT SYSTEMS

ISO 37301 follows the same management system principles and structure as other ISO management system standards, such as ISO 9001 for quality management. You can easily integrate your compliance management system with other management systems for more comprehensive management.

IMPLEMENTING ISO 37301

Implementing a compliance management system according to ISO 37301 requires a commitment to compliance from the top management and the active participation of all employees. Here are some tips to help you implement ISO 37301 effectively:

- Establish a compliance culture that emphasizes integrity, ethics, and accountability
- Identify and assess compliance risks based on relevant laws and regulations, stakeholders, and internal factors
- Develop and implement policies and controls to prevent and mitigate compliance risks
- Train and educate employees on the importance of compliance and how to identify and report compliance risks
- Monitor and review compliance performance and effectiveness regularly
- Engage external stakeholders, such as suppliers and customers, in your compliance management system to improve transparency and trust

THE HIGH-LEVEL-STRUCTURE (HLS) OF ISO 37301

The High-Level-Structure (HLS) provides a guideline to help companies structure and unify the requirements of multiple management systems, including health and safety management systems. This facilitates the implementation and maintenance of multiple management systems and supports the development of integrated management systems.

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SAVE TIME AND CUT COSTS WITH COMBINED CERTIFICATION

COMPLIANCE MANAGEMENT SYSTEM + ENVIRONMENTAL MANAGEMENT SYSTEM

Combined certification of these two systems can help companies to demonstrate commitment and responsible action against corruption and demonstrates the commitment to minimize the company´s environmental footprint.

COMPLIANCE MANAGEMENT SYSTEM + ENERGY MANAGEMENT SYSTEM

Combining these two systems can help companies improving their image and reduce their carbon footprint.

COMPLIANCE MANAGEMENT SYSTEM + HEALTH AND SAFETY MANAGEMENT

A cohesive management system leads to avoiding occupational accidents and the resulting downtime and demonstrates your commitment to comply with relevant laws, increases trust of stakeholders and minimizes legal risks.

It is our pride and joy providing expert support for combined certification of management systems. With our comprehensive knowledge, for example, in the areas of health and safety management, quality management, environmental management and compliance management, businesses can document their commitment to a sustainable future while increasing their competitive edge. Learn more about the Integrated Sustainability Management System.

THE CERTIFICATION PROCESS
The certification process for ISO 37301 is similar to that of other ISO management system standards. Here are the main steps:

01

Develop and implement a compliance management system that meets the requirements of ISO 37301.

02

Conduct an internal audit of the CMS to ensure it meets the requirements of the standard.

03

Choose an accredited certification body to perform an independent, third-party audit of your CMS.

04

Review and improve your CMS continuously to maintain certification.

You can find more information about our ISO 37301 certification on our website. Please click here to explore! For further questions, our experts are happy to support you. Please contact us!

ONLINE CONTACT

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Founded 150 years ago, TÜV Rheinland is a global leader in independent inspection, testing and certification services, ensuring quality and safety for people, the environment, and technology in nearly all aspects of life. TÜV Rheinland has been a member of the United Nations Global Compact for greater sustainability and against corruption since 2006.

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