

WG CMS/ISO – February 17, 2022

ISO 37301: 2021 Compliance Management Systems

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ISO 37301: 2021

From ISO 19600 to ISO 37301

ISO 19600: 2014

- Compliance Management Systems
- Guidance standard

ISO 37001: 2016

- Anti-Bribery Management Systems
- Requirements standard

ISO 37301: 2021

- Compliance Management Systems
- Requirements standard

- ISO 19600, published end of 2014, was the first global standard on compliance management systems
- In October 2016, a specific standard on anti-bribery management systems was published – still in place
- ISO 37301 replaced ISO 19600 in April 2021



ISO 37301: 2021



In a nutshell:

- primarily based on ISO 19600
- leadership, governance and culture remain at the centre of the new standard
- structure according to the well established PDCA-model

Source: ISO 37301: 2021 (<https://www.iso.org/obp/ui/#iso:std:iso:37301:ed-1:v1:en>)

ISO 37301: 2021

What has changed since ISO 19600?

- Type of standard: binding guideline (type A standard like ISO 37001) which allows for official certification in accordance with the standard
- Structure: unchanged but examples now subject to the guidance in the annex and therefore reduction of the main body from 27 to 19 pages
- Language: same terminology but more precise and reader-friendly
- Content: based on ISO 19600, with few substantial amendments only
 - Leadership and commitment of the governing body and the top management (clause 5.1.1)
 - Planning of changes (clause 6.3)
 - Raising concerns (clause 8.3 – new)
 - Investigation process (clause 8.4 – new)



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What organizations may be interested in ISO 37301?

- Applicable to all kinds of organizations, regardless of sector, legal form, size and nature of activities
 - All requirements allow for a tailored approach, taking into consideration the specific context of the organization
- Applicable to all compliance-risks
 - No restriction to specific risks, like for example bribery (like ISO 37001); as such flexible to cover any new topics (like ESG/CSR etc.)
 - Organization to define appropriate measures to adequately address the compliance risks and obligations as identified in the initial analysis
- Organizations looking for (1) a systematic approach on how to establish a robust and effective CMS, (2) a best-practice standard to measure their CMS against or (3) a certification by an external certification body.



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What questions do you have?

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