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**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/T 35770-2022

Replacing GB/T 35770-2017

**Compliance management systems - Requirements with
guidance for use**

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foreword

This document is in accordance with the provisions of GB/T 1.1-2020 "Guidelines for Standardization Work Part 1. Structure and Drafting Rules of Standardization Documents" drafted.

This document replaces GB/T 35770-2017 "Guidelines for Compliance Management System". Compared with GB/T 35770-2017, except for structural adjustment

In addition to editorial changes, the main technical changes are as follows.

--- Changed the document type, from the guideline management system standard to the requirement management system standard;

--- Modified policies, processes, requirements, conformity, nonconformity, corrective action, audit, measurement, monitoring, governance body, compliance risk, compliance

Terms and definitions of obligations, compliance, non-compliance, procedures (see 3.5, 3.8, 3.14, 3.15, 3.16, 3.17, 3.18, 3.19, 3.20,

3.21, 3.24, 3.25, 3.26, 3.27, 3.31, 2.8, 2.10, 2.13, 2.32, 2.33, 2.35, 2.31, 2.30, 2.29,

2.4, 2.12, 2.16, 2.17, 2.18, 2.25).

This document is equivalent to ISO 37301:2021 "Compliance Management System Requirements and Guidelines for Use". Consistent with ISO 37301:2021

In contrast, the following minimal editorial changes have been made to this document.

--- Term 3.14 added a note to further explain the requirements;

--- Term 3.28 adds a note explaining organizational values;

--- Considering the applicability of this document in my country, appendix NA (informative) has been added.

Please note that some content of this document may be patented. The issuing agency of

this document assumes no responsibility for identifying patents.

Introduction

To achieve long-term growth, organizations need to establish and maintain a compliance culture based on the needs and expectations of interested parties. Therefore, compliance is the realization of organizational

The cornerstone and opportunity for success and sustainable development.

Compliance is an ongoing process and the result of an organization fulfilling its obligations. The sustainability of compliance is reflected in the integration of compliance into organizational culture.

change and the behavior and awareness of those who work for the organization. While maintaining independence, compliance management is best integrated with the organization's other management processes and operations.

Line requirements and procedures are combined.

A comprehensive and effective compliance management system that demonstrates the organization's commitment and commitment to complying with relevant laws, regulatory requirements, industry codes and groups

organizational standards, as well as standards of good governance, generally accepted best practices, ethics and community expectations.

An organization's leadership applies core values, generally accepted practices of good governance, ethics and social norms to shape the organization's compliance

way. The behavior of those who integrate compliance into the work of the organization depends on leadership at all levels of the organization, the organization's clear values, and the

Organization's recognition and implementation of measures to promote compliant behavior. If all levels of an organization fail to do all of the above, there is a risk of non-compliance.

In many jurisdictions, courts, in making decisions about appropriate penalties for violations of relevant laws, take into account the organization's compliance management system.

considering its compliance commitments. Therefore, regulators and judiciaries can also benefit from benchmarking using this document.

By promoting binding values and implementing appropriate compliance management, organizations will gain greater confidence that they can effectively maintain their integrity

letter, avoid or minimize breaches of the organization's compliance obligations. Integrity and effective compliance are therefore key to good diligence in an organization

white. Compliance also helps organizations fulfill their social responsibilities.

One of the goals of this document is to assist organizations in developing and spreading a positive compliance culture. It is recommended that organizations integrate compliance-related risks into the effective and

Management is seen as an opportunity that can be pursued and exploited because it provides the organization with the following advantages.

- Increase business opportunities and promote sustainable development;
- protect and enhance the reputation and credibility of the organization;
- take into account the expectations of all interested parties;
- demonstrate the organization's commitment to effectively and effectively manage its compliance risks;
- Enhance third-party confidence in the organization's continued success;
- Minimize the risk of non-compliance and the corresponding cost and reputation loss.

This document specifies the requirements for a compliance management system and provides guidance and recommended practices for its use. The requirements and guidelines in this document are intended to

Adaptable, depending on the size and maturity of the organization's compliance management system, as well as the context, nature, and location of the organization's activities and objectives.

Different levels of complexity have different implementations.

This document is applicable to strengthen the performance of compliance-related requirements of other management systems, and helps to improve the organization's overall coordination of all compliance obligations

manage.

Figure 1 outlines the common elements of a compliance management system.

Figure 1 Elements of a compliance management system

This document uses the following able verbs.

- "Should" indicates a requirement;
- "Should" indicates recommendation;
- "May" means allow;
- "Can" expresses ability or possibility.

The information in the "Notes" of this document is a guide for understanding or explaining

the relevant requirements.

Appendix A provides guidelines for the use of this document, and Appendix NA provides supplementary guidelines for the use of this document.

Compliance Management System Requirements and Guidelines for Use

1 Scope

This document specifies requirements and provides guidance for organizations to establish, develop, implement, evaluate, maintain and improve an effective compliance management system.

This document applies to all types of organizations, regardless of their type, size, nature, and whether public, private or not-for-profit.

In the absence of an independent governance body within the organization, all requirements for governance bodies set forth in this document apply to the highest managers.

2 Normative references

There are no normative references in this document.

3 Terms and Definitions

The following terms and definitions apply to this document.

3.1

organization

A person or group of persons whose functions constitute their own functions by responsibilities, authorities and interrelationships for the achievement of objectives (3.6)

Note 1. The concept of organization includes but is not limited to self-employed persons, companies, group companies, firms, enterprises and institutions, administrative agencies, partnerships, charities or research institutes

Research institutions, or parts or combinations of the above, whether or not legal personality, public or private.

Note 2 to entry. If the organization is a component of a larger entity, then the term "organization" refers only to this component within the scope of the compliance management system (3.4).

3.2