



**FREE OF
CHARGE**

COMPLIANCE MANAGEMENT SYSTEM

AN INTRODUCTION

17 Agustus 2021

CMS



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PT INTERNASIONAL SINERGI QUANTUM

Users of This White Paper

National and Multinational Private Companies, State-Owned Enterprises, Central to Regional Governments, Government Direct Business Partners, Regional-Owned Enterprises, etc. for the functions of Anti-Bribery Compliance Function, Compliance Function, GCG (Good Corporate Governance), GRC (Governance, Risk, Compliance), ARC Committee (Audit, Risk, Compliance), WBS Committee, Investigation Team, WBS Service Provider Company such as Navex Global, Deloitte, RSM, Safecall, WF, St Hilliers, Canaglobe, Fraudhl, whistlebl, speeki, Whistleblower security inc, TSSA, etc.

Perusahaan Swasta Nasional dan Multinasional, Perusahaan BUMN, Pemerintahan Pusat hingga Daerah, Rekan Bisnis Langsung Pemerintahan, BUMD, dll untuk fungsi-fungsi Anti-Bribery Compliance Function, Compliance Function, GCG (Good Corporate Governance), GRC (Governance, Risk, Compliance), Komite ARC (Audit, Risk, Compliance), Komite WBS, Tim Investigasi, WBS Service Provider Company seperti Navex Global, Deloitte, RSM, Safecall, WF, St Hilliers, Canaglobe, Fraudhl, whistlebl, speeki, Whistleblower security inc, TSSA, dll.

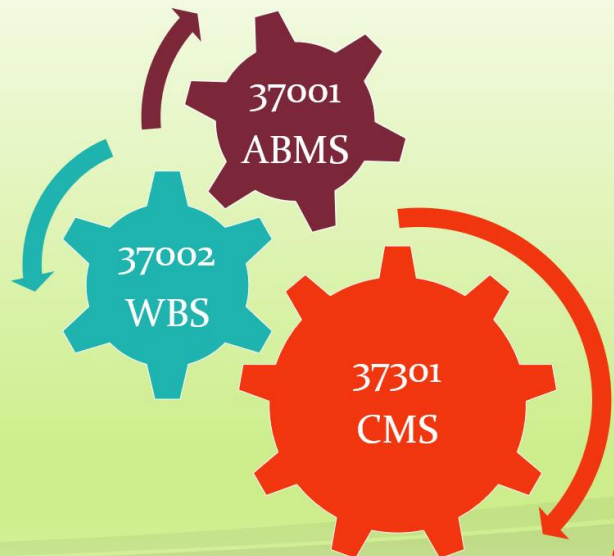
Understanding ISO/TC 309 Standard



37 Series

Published

By ISO/TC 309



Source : <https://committee.iso.org/home/tc309>

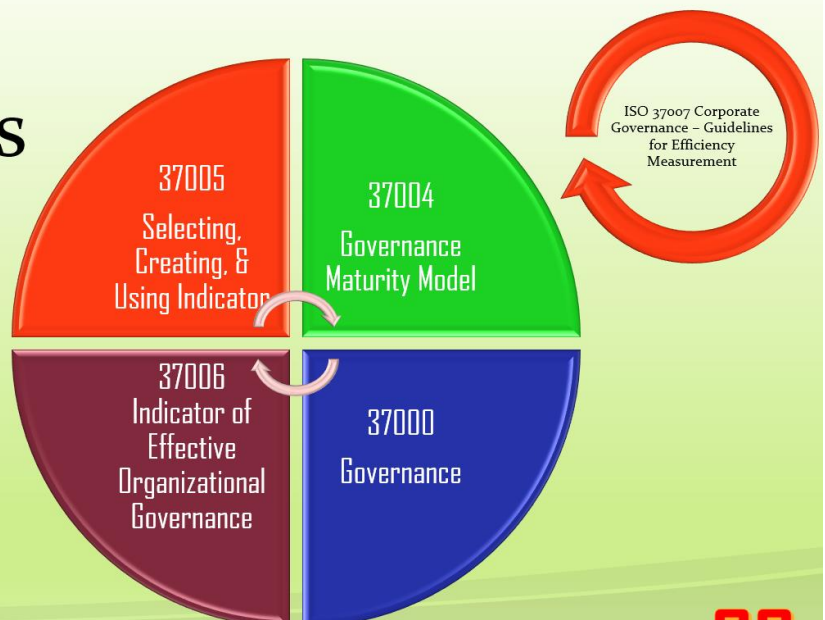
GC



37 Series

On Going

Prepared
By ISO/TC 309



Source : <https://committee.iso.org/home/tc309>

GC

MIGRATION ISO 19600:2014 to ISO 37301 : 2021 CERTIFICATION

With the publication of ISO 37301:2021, the ISO 19600:2014 standard has been withdrawn, since ISO 37301 has replaced ISO 19600.

Considering this, ISO 19600 certified individuals who want to migrate to an ISO 37301 certification will have six months to do so, until October 29, 2021.

Here are some important dates around this migration process:

- 2021-04-13 – The ISO 19600:2014 standard was withdrawn.
- 2021-04-13 – The ISO 37301:2021 standard has been released.
- 2021-04-19 – PECB no longer offers ISO 19600:2014 training courses, exams, and certifications.
- 2021-05-07 – PECB will launch the ISO 37301 Lead Implementer, Lead Auditor, Foundation, Introduction, and Transition training courses.
- 2021-10-29 – Expiration date for ISO 19600 personnel certifications (End of the migration period)

Initial certification

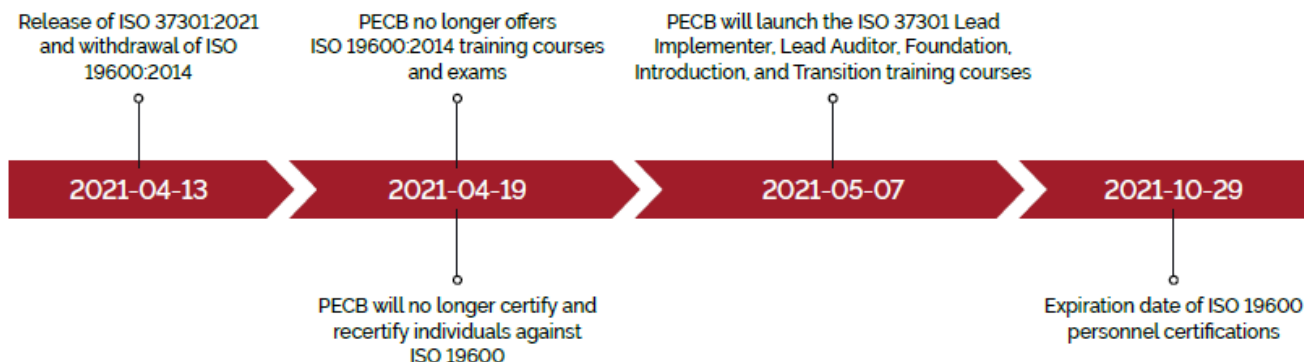
As of 2021-04-19 PECB will no longer certify individuals against ISO 19600.

Recertification

As of 2021-04-19 PECB will not recertify individuals against ISO 19600.

How to migrate to an ISO 37301 certification?

Since PECB ISO 19600 Certifications will become obsolete in October 29, 2021, all certified individuals will have the opportunity to go through the PECB ISO 37301 transition training course and exam, and if they pass the exam, they will be able to apply for the respective ISO 37301 Certification (Senior Lead Implementer, Lead Implementer, Implementer, Provisional Implementer or Foundation).

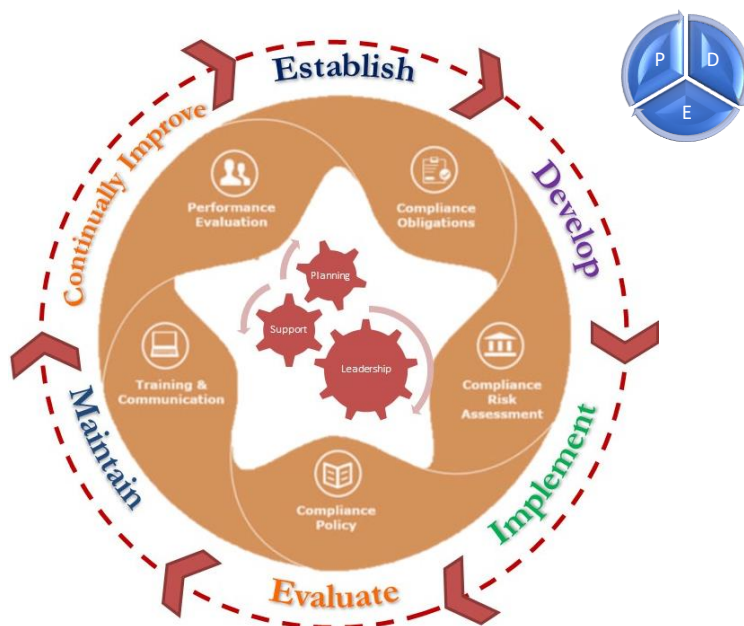


Source : pecb.com

THE COMPLIANCE MANAGEMENT SYSTEM

COMPLIANCE MANAGEMENT SYSTEM

PREVENTION – EARLY DETECTION – ELIMINATION OF VIOLATION



SISTEM MANAJEMEN KEPATUHAN

Pencegahan, Deteksi Dini, Pengurangan Pelanggaran

ISQ/PT/CMS/37301 (28-APR-21)

WHITE PAPER

THE COMPLIANCE MANAGEMENT SYSTEM



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Understanding Requirements and Best Practices of ISO 37301:2021

Bagaimana ketidakpatuhan terjadi?

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Suap + Korupsi



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SMK & GRK (GRC)

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- Mekanisme Kepatuhan berdasarkan ISO 19600
- Penyesuaian persyaratan ISO 37301
- Pendekatan integrasi GRC



GRC

THE COMPLIANCE MANAGEMENT SYSTEM



Penerapan SMK

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GOVERNANCE

1. Konteks Organisasi (4.1, 4.2)
2. Kewajiban Kepatuhan (4.5)
3. Governansi Kepatuhan
4. Budaya Kepatuhan
5. Kebijakan dan Prosedur Kepatuhan
6. Peran dan Tanggungjawab
7. Sumberdaya Kepatuhan

RISK

1. Konteks Organisasi (4.1, 4.2)
2. Penilaian Risiko (4.6)
3. Risk Treatment
4. Pengendalian Risiko
5. Pemantauan dan pelaporan
6. Investigasi
7. Penindakan

COMPLIANCE

1. Pemantauan Kinerja
2. Audit Internal
3. Tinjauan Fungsi Kepatuhan
4. Tinjauan Manajemen
5. Tinjauan Pengawas
6. Adaptasi, perbaikan dan peningkatan

Governance atau tata Kelola. Rhodes (1996) mendefinisikan *governance* sebagai *self organizing* dan *inter-organizational network*.

INTEGRATED SMK KEDALAM GRC

GRC



Standar Internasional ISO 37301:2021

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INTERNATIONAL
STANDARD

ISO
37301

First edition
2021-04

Compliance management systems —
Requirements with guidance for use

Systèmes de management de la conformité — Exigences et
recommandations pour la mise en œuvre



Ballot number
ISO 37301:2021(0)

© ISO 2021

- Standar sistem manajemen kepatuhan ini dipublikasikan oleh lembaga standarisasi internasional ISO.
- ISO 37301 adalah Standar Internasional yang menentukan penerapan kebijakan, prosedur dan pengendalian organisasi yang wajar dan proporsional sesuai dengan risiko kepatuhan yang dihadapi organisasi.
- Sasaran umum penerapan standar ISO 37301:2021 adalah membantu organisasi mencapai hasil kepatuhan yang diinginkan untuk **mencegah**, **mendeteksi** dan **menangani** ketidakpatuhan (A.4.4)
- ISO 37301 tidak hanya berlaku untuk perusahaan besar saja dalam menerapkan dan memelihara sistem manajemen kepatuhan. Usaha kecil dan menengah (UKM) pun juga dapat memanfaatkan standar ini, karena ISO 37301 cocok untuk semua jenis organisasi.
- Ini dapat diterapkan pada seluruh perusahaan atau subdivisi, seperti lokasi dan departemen yang berbeda

THE COMPLIANCE MANAGEMENT SYSTEM



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Manfaat Penerapan SMK

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1. Meningkatkan peluang bisnis dan berkelanjutan
2. Melindungi dan Meningkatkan reputasi dan kredibilitas organisasi
3. Mempertimbangkan ekspektasi pihak pihak yang berkepentingan
4. Menunjukkan komitmen organisasi dalam mengelola risiko secara efektif dan efisien
5. Meningkatkan kepercayaan pihak ketiga untuk mencapai kesuksesan berkelanjutan
6. Meminimalkan risiko kontravensi dengan biaya petugas dan kerusakan reputasi



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Elemen SMK

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Dokumen ini cocok untuk meningkatkan persyaratan terkait kepatuhan dalam sistem manajemen lain dan untuk membantu organisasi dalam **meningkatkan manajemen keseluruhan** dari semua kewajiban kepatuhannya.



PT. INTERNASIONAL SINERGI QUANTUM

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Our Product and Services :

Training and Consulting :

Management System :

- AS 9100, 9110, 9120 (Aerospace & Defense)
- IATF 16949 (Automotive Quality)
- ISO 9001 (Quality)
- ISO 14001 (Environmental)
- ISO 22000, FSSC 22000 (Food Safety)
- ISO 37001 (Anti Bribery)
- ISO 45001 (Occupational Health & Safety)
- ISO 17025 (Laboratory)
- ISO 31000 (Risk Management),
- ISO 50001 (Energy)
- ISO 21001 (Educational Organization)
- ISO 27001 (Information Security)
- ISO 19011 (Internal Audit)
- ISO 22301 (Business Continuity)
- ISO 37301 (Compliance)
- ISO 39001 (Road Traffic Safety)

Continual Improvement Tools :

- Toyota Production System
- 5S, 7 QC Tools
- QCC, QCP, Jishuken, Monoshukuri
- QCC Assessment Criteria
- Mieruka, Misheruka
- Mottainai (7R)
- TPM (Total Productive Maintenance), Lean Manufacturing
- Root Cause Analysis & Corrective Action

Digital Media / System :

- Management System Platform by Qooling
- AS & IATF Core tools (*digital-integrated*)
- ISO Documentation System (*paperless*)
- IATF 16949 Paperless Management System
- COBIT
- ITIL (Information Technology Infrastructure Library)
- CISA (Certified Information Systems Auditor)

Human Capital, Legal, Product Certification & Other :

- PROPER
- SMK3 PP50
- Entrepreneurship
- DNA Personality
- Excellent System Setup
- Leadership, Effective Supervisory Skills
- Key Performance Indicators Balance Scorecard
- DISC, RACI
- Public Speaking, Presentation Skill with Big Influence
- Effective General Affair
- Workload Analysis (WLA)
- EFMS (Employee Financial Management System)
- Certification of CHRM BNSP
- Capacity Building, Soft Skill and Character Building
- IPAT & IPLC
- SNI (Standar Nasional Indonesia)
- Managing the Training Function
- People Development With Competencies Based

Our Association & Partners



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Indonesian Society for Quality