



Compliance Assessment (CASS)

**Independent, objective and effective
evaluation of Compliance
Management Systems by the
Institute of Compliance based on
ISO 19600 and ISO 37001**



Aims and benefits of the CASS

| Aims and principles

The Institute of Compliance offers you a possibility of performing an evaluation of the compliance management systems (CMS) and anti-bribery management systems (AMS) functioning in your company or any other organization. The evaluation is conducted based on common and well-established global standards: ISO 19600 Compliance Management Systems and ISO 37001 Anti-bribery Management Systems. The evaluation aims to determine the status quo of the systems in an organization, identify possible shortcomings, and establish the best direction for optimization. The evaluated organization may therefore ascertain if their compliance or anti-bribery systems are in line with the globally established ISO standards and well tailored to the risk portfolio and the other individual needs.

Among the many benefits of being evaluated by the Institute of Compliance, it is worth to mention the following:



| Further benefits

Thanks to CASS, you receive an external, independent, expert evaluation to verify if the compliance or anti-bribery systems functioning in your company are in line with the global standards. You will learn which areas, procedures, or processes in your company are in need of optimisation. The evaluation involves not only processes and structures, but also underlying concepts and models. Any shortcomings detected during the evaluation may be automatically remedied, for instance by targeted trainings or direct contact with experienced compliance and anti-bribery experts. If, during the process of evaluation, a new compliance risk is detected, we may discuss the possible methods of its mitigation. The evaluation prepares you for a prospective certification process. Our auditors know what to pay attention to: they themselves have taken part in developing the aforementioned international standards! You may save financial and human resources by reducing your efforts, if the evaluation detects that the methods used at your company are disproportional or excessive. Thanks to the CASS evaluation you gain a market advantage over your competition. At the end of the process, you will receive a written evaluation report as well as the CASS certificate with advice for further actions. The evaluation process drastically increases the compliance awareness in a company.

Methodology and subjects of the evaluation

| Which elements are evaluated?

The method used by the Institute of Compliance is based on ISO 19600 and ISO 37001 norms as well as on the German PS 980 standard. The specific evaluation areas are determined on an individual basis in order to achieve the best effects possible. The evaluation especially concerns the following aspects:

- ✓ **General CMS concept**
- ✓ **Content and form of compliance or anti-bribery policy**
- ✓ **Measures and methods of risk analysis**
- ✓ **Content and forms of the compliance code**
- ✓ **Necessity of introducing and adjusting whistleblowing systems**
- ✓ **Particular methods of counteracting corruption in accordance with ISO 37001**
- ✓ **Methods and means of communication**
- ✓ **Reporting channels and documentation methods**
- ✓ **Crisis management tactics**
- ✓ **Methods of evaluation and continuous improvement**

The evaluation is conducted based on the principles of proportionality and flexibility expressed in ISO 19600 and ISO 37001 norms. Therefore, depending on an organisation's needs, it is not always necessary to implement all of the above elements or introduce further elements in your organisation.

| How does it look like?

The evaluation is divided into four basic stages. At the starting point, we analyse documents describing the system/systems in your company and collect data based on a questionnaire drawn up after a preliminary discussion. Next, we conduct interviews and talks with management staff and other employees, which may also include a general evaluation in the form of a survey. Afterwards, if need be, we take actions to improve the systems with cooperation of our experts. Finally, based on all the information available, we prepare the CASS report and issue the CASS certificate. The cycle may be repeated every two years. This way, our procedure is in line with the method of continual improvement of quality (PDCA).





InstituteCompliance.com

If you are interested in the CASS evaluation and the CASS certificate issued by the Institute of Compliance, please contact us!

Instytut Compliance sp. z o.o.
ul. Kościuszki 1 | 69-100 Słubice | Poland

Contact person: *Dr. Bartosz Jagura*
URL: www.institutecompliance.com
Email: info@instytutcompliance.pl

