

Research question(s)

The research question (RQ) and the three supporting sub-questions (SQ) that are addressed in this literature review are:

RQ: What are approaches for aligning business processes with regulatory requirements to achieve regulatory compliance by design?

SQ1: How can businesses identify relevant regulatory requirements?

SQ2: How can businesses analyze which business processes are affected by changes in regulatory requirements?

SQ3: How can businesses integrate compliance requirements into business process design?

The focus of this review is specifically the first question (RQ). The following is the research question repeated whereby the central terms and concepts in this review are boxed: What are approaches for aligning business processes with regulatory requirements to achieve regulatory compliance by design?

compliance by design

A definition of the three central concepts:

Business process management (BPM) is defined as all activities performed by businesses to discover, model, automate, analyze, measure, improve and optimize business processes (Liu, Müller, and Xu 2007). A business process coordinates the behavior of people, systems, information and things to produce business outcomes in support of a business strategy. Processes can be structured and repeatable, or unstructured and variable.

Regulatory compliance is defined as ensuring that business processes, operations, and practices are in accordance with a prescribed and/or agreed set of norms. These compliance requirements may stem from legislature and regulatory bodies (e.g., Sarbanes-Oxley, Basel II, HIPAA), standards and codes of practice (e.g., SCOR, ISO9000), and also business partner contracts (Hashmi (2015)).

Compliance by design refers to approaches and methodologies where compliance requirements are integrated into business process models and enterprise applications from the very beginning (Sadiq and Governatori 2010). This concept emphasizes embedding compliance within the fabric of business practices rather than treating it as a separate or after-the-fact activity [lohmannComplianceDesignArtifactcentric2013].

Hashmi, Mustafa. 2015. "Evaluating Business Process Compliance Management Frameworks." Queensland University of Technology.

- Liu, Y., S. Müller, and K. Xu. 2007. “A Static Compliance-Checking Framework for Business Process Models.” *IBM Systems Journal* 46 (2): 335–61. <https://www-proquest-com.rps.hva.nl/scholarly-journals/static-compliance-checking-framework-business/docview/222423834/se-2>.
- Sadiq, Shazia, and Guido Governatori. 2010. “Managing Regulatory Compliance in Business Processes.” In *Handbook on Business Process Management 2*, edited by Jan vom Brocke and Michael Rosemann, 159–75. Berlin, Heidelberg: Springer Berlin Heidelberg. https://doi.org/10.1007/978-3-642-01982-1_8.