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Compliance management systems - Guidelines for the evaluation of effectiveness

Systèmes de management de la conformité — Lignes directrices pour l'évaluation de l'efficacité

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Compliance management systems — Guidelines for the evaluation of effectiveness

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Foreword

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The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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This document was prepared by Technical Committee ISO/TC 309, *Governance of Organizations*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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Introduction

An effective compliance management system supports an organization and enables it to demonstrate its commitment to comply with relevant laws, regulatory requirements, industry codes, organizational standards as well as standards of good governance, generally accepted best practices, ethics, and the expectations of the interested parties. Compliance is made sustainable by embedding it in the culture of the organization, and in the behaviour and attitude of personnel under control of the organization and affecting its compliance performance.

ISO 37301:2021 sets out the requirements and provides guidelines for establishing, developing, implementing, evaluating, and improving an effective and responsive compliance management system within an organization. This document provides guidance to support the implementation of the requirements in ISO 37301:2021 related to performance evaluation of the compliance management system, including monitoring, measurement, analysis, evaluation, management reviews and to continual improvement in any type of organization.

This purpose of this document is to assist organizations by providing a standardized approach to measure and evaluate the effectiveness of a compliance management system in accordance with ISO 37301:2021. It serves as a tool for organizations to objectively assess its ability to consistently achieve the objectives of its compliance management and its intended results. The framework can also be used to evaluate the effectiveness of other types of compliance management systems.

This document establishes principles and indicators for the evaluation of effectiveness of compliance management system, specifies the evaluation criteria and data acquisition, evaluation process, the method to get the evaluation result, and the contents of evaluation report.

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Compliance management systems — Guidelines for the evaluation of effectiveness

1 Scope

This document establishes principles and an evaluation indicator framework for assessing the effectiveness of the compliance management system, including evaluation criteria for specified indicators, and provides guidance as well as suggestion on the evaluation model.

The guidance provided in this document aims to support the monitoring, measurement, analysis and evaluation of the compliance management system. It aims to support management review of the compliance management system to foster continual improvement. This document is applicable to the activities for evaluating the effectiveness of the compliance management system in all organizations, regardless of the type, size and nature, including organizations from the public, private or non-profit sector.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 37301, *Compliance management systems — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 37301 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1 effectiveness

extent to which planned activities are realized and planned results are achieved

[SOURCE: ISO 37301:2021,3.13]

3.2 evaluation indicator

measurable reference point of the current status or condition of a compliance management system activity

Note 1 to entry: Evaluation indicators can be quantitative or qualitative.

3.3 evaluation indicator framework

schema comprised of *evaluation indicators* (3.2) that reflects the effectiveness of a compliance management system

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4 General Principles

The evaluation of the effectiveness of a compliance management system should be based on the following principles.

- a) **Objectivity:** the evaluation indicator framework is established so that results of the evaluation of the compliance management system can be used in different contexts and for different purposes.
- b) **Completeness and scalability:** the evaluation criteria for each indicator considers planning, development, implementation and continual improvement of processes, the achievement of planned results and the degree of such.
- c) **Traceability:** the evaluation results are verified through objective methods and evidence of documented information as well as other supporting information.

5 Evaluation methodology

5.1 General

The effectiveness of the compliance management system refers to its ability to consistently achieve its objectives and intended results. Moreover, an effective compliance management system results in improved performance, and enhanced value for the organization and its interested parties.

The evaluation methodology provides for three dimensions: policy and procedures, conduct and culture, as well as results, evaluated along five levels of effectiveness (see [5.2](#)). Every evaluation indicator can be evaluated along the evaluation model addressing policy and procedures, conduct and culture and results. The evaluation indicator framework provides indicators aligned with the requirements of a compliance management system compliant with ISO 37301:2021.

The evaluation criteria provide indicators for the assessment of the individual parts of compliance management system at a detailed granularity (see [Clause 6](#)). The application of the evaluation criteria supports consistent evaluation of the activities, the identification of inadequacies and the identification of areas for continuous improvement and thus improving the adaptability to changing conditions or requirements.

5.2 Evaluation scales

The effectiveness of the compliance management system is measured along three dimensions: policy and procedures, conduct and culture, as well as results applying the indicator scale set forth in [table 1](#).

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Table 1 — Scales for the evaluation of the effectiveness of a compliance management system

Scales	Description		
	Policy and procedures	Conduct and culture	Results
Level 1	Few processes exist and most of them are incomplete	Behaviour within the organization does not reflect any alignment with the standard procedures	No apparent impact or recognizable results
Level 2	Processes are implemented inconsistently, not formally defined, and communicated separately	Understanding of standard procedures are present, but they are not systematically enforced	Results are inconsistent, alignment with objectives is coincidental rather than intentional
Level 3	Processes are implemented, documented, but not assessed to determine whether they are fulfilling the related requirements	Behaviour begins to reflect compliance measures yet there is significant room for strengthening alignment and improving effectiveness	Results are only loosely aligned with objectives and not consistent throughout the scope of the compliance management system
Level 4	Processes of the compliance management system are integrated into organizational processes, they are monitored, measured and evaluated	Behaviour is actively managed to align with the standard procedures with continuous evaluation and proactive adjustments to enhance compliance, reduce risks, and reinforce a culture of ethical conduct	Results are aligned with the defined objectives and fully integrated in the organizational process
Level 5	In organizational processes, integrated processes of the compliance management system are continually improved, and correction measures are implemented to ensure effectiveness of the compliance management system	Behaviour is actively managed to align with the standard procedures, compliance measures are fully embedded within the organizational behaviour through continuous monitoring, feedback and adaptation	Results are integrated in a feedback loop that fosters continual improvement and adaptation to changing conditions

5.3 Evaluation indicator framework

The framework provides indicators for each component of the compliance management system in accordance with the requirements of ISO 37301. The indicators are based on a single requirement, or a group of requirements, related to a component of ISO 37301 and are provided in [Table 2](#).

Table 2 — Composition of the evaluation indicator framework

The dimensions of the evaluation indicator framework	Indicator description
Planning and establishing of the compliance management system	Analysis of the context of the organization, including requirements of interested parties
	Identification and update of compliance obligations
	Determination of scope of the compliance management system and assessment of compliance risk
	Leadership and commitment of governing body and top management
	Implementation of compliance governance principles
	Maintenance and promotion of compliance culture
	Assignment of roles, responsibilities, and authorities for personnel in different levels
	Compliance policy and setting of objectives
	Planning of actions to address risks and opportunities and the resources required

ISO/DIS 37302:2024(en)**Table 2 (continued)**

The dimensions of the evaluation indicator framework	Indicator description
Implementation of the planned compliance management system	Operational actions to address risk and opportunity
	Allocation of resources
	Competences, capacity building and raising awareness
	Employment process, rewards and disciplinary actions
	Training
	Internal and external communication
	Establishment of a mechanism for raising concern
	Implementation of investigation mechanism
	Management of documented information
Evaluating performance and improvement of the compliance management system	Monitoring, measurement and analysis of performance
	Internal audit
	Management review
	Actions to address nonconformity and/or noncompliance and correction
	Continual improvement in a planned manner

6 Evaluation criteria**6.1 Planning and establishing of the compliance management system****6.1.1 Analysis of the context of the organization, including requirements of interested parties****6.1.1.1 'Policy and procedures' and 'Conduct and culture' evaluation**

The 'Policy and procedures' and 'Conduct and culture' related to analysis of the context of the organization, including requirements of interested parties, should be evaluated according to [Table 3](#).

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