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Compliance management systems — Guidance for the evaluation of effectiveness

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

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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 document 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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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

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. It enables the organization to demonstrate its commitment to complying with:

— relevant laws;

— regulatory requirements;

— industry codes;

— organizational standards;

— standards of good governance;

— generally accepted best practices;

— ethics;

— the expectations of the interested parties.

Compliance becomes sustainable when it is embedded in the culture of the organization and in the behaviour and attitude of personnel under the control of the organization. Embedded compliance positively influences the compliance performance of the organization.

ISO 37301 sets out the requirements and provides guidance 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 related to evaluating the performance of a compliance management system (including monitoring, measurement, analysis, evaluation and management reviews) and thus ensuring continual improvement in any type of organization.

The framework can also be used to evaluate the effectiveness of other types of compliance management systems.

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Compliance management systems — Guidance for the evaluation of effectiveness

1 Scope

This document establishes principles and an evaluation indicator framework for assessing the effectiveness of a compliance management system. This includes evaluation criteria for specified indicators. This document also provides guidance as well as suggestions on the evaluation model.

The guidance provided in this document aims to support the monitoring, measurement, analysis and evaluation of a compliance management system. It aims to support management review of the compliance management system to foster continual improvement. It does not add to, change or otherwise modify requirements for compliance management systems or any other standards.

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

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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

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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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