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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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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

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

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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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