DIN ISO 37002:2022-03 (E)

Whistleblowing management systems - Guidelines (ISO 37002:2021)

Contents

Page

National foreword 4

National Annex NA (informative) Bibliography 5

Foreword 6

Introduction 7

1 Scope 9

2 Normative references 9

3 Termsanddefinitions 9

4 Context of the organization 15
4.1 Understanding the organization and its context 15
4.2 Understanding the needs and expectations of interested parties 16
4.3 Determining the scope of the whistleblowing management system 16
4.4 Whistleblowing management system 17

5 Leadership 17
5.1 Leadership and commitment 17
5.1.1 Governing body 17
5.1.2 Top management 18
5.2 Whistleblowing policy 18
5.3 Roles, responsibilities and authorities 19
5.3.1 Top management and governing body 19
5.3.2 Whistleblowing management function 20
5.3.3 Delegated decision-making 20

6 Planning 21
6.1 Actions to address risks and opportunities 21
6.2 Whistleblowing management system objectives and planning to achieve them 21
6.3 Planning of changes 22

7 Support 22
7.1 Resources 22
7.2 Competence 22
7.3 Awareness 23
7.3.1 General 23
7.3.2 Personnel training and awareness measures 23
7.3.3 Training for leaders and other specific roles 24
7.4 Communication 25
7.5 Documented information 26
7.5.1 General 26
7.5.2 Creating and updating documented information 26
7.5.3 Control of documented information 26
7.5.4 Data protection 27
7.5.5 Confidentiality 27

8 Operation 28
8.1 Operational planning and control 28

8.2 Receiving reports of wrongdoing 30
8.3 Assessing reports of wrongdoing 31
8.3.1 Assessing the reported wrongdoing 31
8.3.2 Assessing and preventing risks of detrimental conduct 32
8.4 Addressing reports of wrongdoing 33
8.4.1 Addressing the reported wrongdoing 33
8.4.2 Protecting and supporting the whistleblower 34
8.4.3 Addressing detrimental conduct 34
8.4.4 Protecting the subject(s) of a report 35
8.4.5 Protecting relevant interested parties 35
8.5 Concluding whistleblowing cases 35

9 Performance evaluation 36
9.1 Monitoring, measurement, analysis and evaluation 36
9.1.1 General 36
9.1.2 Indicators for evaluation 36
9.1.3 Information sources 37
9.2 Internal audit 38
9.2.1 General 38
9.2.2 Internal audit programme 38
9.3 Management review 38
9.3.1 General 38
9.3.2 Management review inputs 38
9.3.3 Management review results 39

10 Improvement 39
10.1 Continual improvement 39
10.2 Nonconformity and corrective action 39

Bibliography 41