

# ISO 37302:2025-07 (E)

## Compliance management systems - Guidance for the evaluation of effectiveness

---

<b>Contents</b>		<b>Page</b>
Foreword .....		iv
Introduction .....		v
<b>1</b>	<b>Scope .....</b>	<b>1</b>
<b>2</b>	<b>Normative references .....</b>	<b>1</b>
<b>3</b>	<b>Terms and definitions .....</b>	<b>1</b>
<b>4</b>	<b>General principles .....</b>	<b>2</b>
<b>5</b>	<b>Evaluation methodology .....</b>	<b>2</b>
5.1	General .....	2
5.2	Evaluation scales .....	3
5.3	Evaluation indicator framework .....	3
<b>6</b>	<b>Evaluation criteria .....</b>	<b>5</b>
6.1	Planning and establishment of the compliance management system .....	5
6.1.1	Analysis of the context of the organization, including requirements of interested parties ...	5
6.1.2	Identification and update of compliance obligations .....	7
6.1.3	Determination of the scope of the compliance management system and assessment of compliance risk .....	8
6.1.4	Leadership and commitment of governing body and top management .....	10
6.1.5	Implementation of compliance governance principles .....	12
6.1.6	Maintenance and promotion of compliance culture .....	14
6.1.7	Assignment of the roles, responsibilities, and authorities for personnel at different levels .....	15
6.1.8	Compliance policy and setting of objectives .....	17
6.1.9	Planning of actions to address risk and opportunity and the resources required .....	19
6.2	Implementation of the planned compliance management system .....	20
6.2.1	Operational actions to address risk and opportunity .....	20
6.2.2	Allocation of resources .....	21
6.2.3	Competences, capacity building and raising awareness .....	23
6.2.4	Employment process, rewards and disciplinary actions .....	25
6.2.5	Training .....	26
6.2.6	Internal and external communication .....	28
6.2.7	Establishment of a mechanism for raising concerns .....	29
6.2.8	Implementation of processes for investigation .....	30
6.2.9	Management of documented information .....	32
6.3	Evaluating performance and improvement of the compliance management system .....	33
6.3.1	Monitoring, measurement, analysis and evaluation of performance .....	33
6.3.2	Internal audit .....	34
6.3.3	Management review .....	36
6.3.4	Actions to address nonconformity and/or noncompliance and correction .....	37
6.3.5	Continual improvement in a planned manner .....	39
<b>7</b>	<b>Evaluation process .....</b>	<b>40</b>
7.1	Objectives .....	40
7.2	Structured approach .....	40
7.3	Evaluators .....	41
7.4	Evaluation method .....	41

<b>7.4.1</b>	<b>Design .....</b>	<b>41</b>
<b>7.4.2</b>	<b>Implementation .....</b>	<b>41</b>
<b>7.4.3</b>	<b>Reporting and response .....</b>	<b>42</b>
<b>Annex A (informative)</b>	<b>Figure of the evaluation indicator framework .....</b>	<b>43</b>