SVENSK STANDARD
SS-ISO 37002:2021

Ledningssystem för visselblåsning — Vägledning
(ISO 37002:2021, IDT)

Whistleblowing management systems — Guidelines
(ISO 37002:2021, IDT)

Svenska Institutet för Standarder

Language: engelska/English
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Svenska Institutet för Standarder

Den här standarden kan hjälpa dig att effektivisera och kvalitetssäkra ditt arbete. SIS har fler tjänster att erbjuda dig för att underlätta tillämpningen av standarder i din verksamhet.

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Standarden är framtagen av kommittén för Organisationers samhällsansvar, SIS/TK 478.

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ICS: 03.100.01; 03.100.02; 03.100.70; 04.130

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Den internationella standarden ISO 37002 gäller som svensk standard. Detta dokument innehåller den officiella engelska versionen av ISO 37002.

The International Standard ISO 37002 has the status of a Swedish Standard. This document contains the official English version of ISO 37002.

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LÄSANVISNINGAR FÖR STANDARDER

I dessa anvisningar behandlas huvudprinciperna för hur regler och yttre begränsningar anges i standardiseringsprodukter.

Krav
Ett krav är ett uttryck i ett dokuments innehåll som anger objektivt verifierbara kriterier som ska uppfyllas och från vilka ingen avvikelse tillåts om efterlevnad av dokumentet ska kunna åberopas.
Krav uttrycks med hjälpverbet ska (eller ska inte för förbud).

Rekommendation
En rekommendation är ett uttryck i ett dokuments innehåll som anger en valmöjlighet eller ett tillvägagångssätt som bedöms vara särskilt lämpligt utan att nödvändigtvis nämna eller utesluta andra.
Rekommendationer uttrycks med hjälpverbet bör (eller bör inte för avrådanden).

Instruktion
Instruktioner anges i imperativ form och används för att ange hur något görs eller utförs. De kan underordnas en annan regel, såsom ett krav eller en rekommendation. De kan även användas självständigt, och är då att betrakta som krav.

Förklaring
En förklaring är ett uttryck i ett dokuments innehåll som förmedlar information. En förklaring kan uttrycka tillåtelse, möjlighet eller förmåga. Tillåtelse uttrycks med hjälpverbet får (eller motsatsen behöver inte). Möjlighet och förmåga uttrycks med hjälpverbet kan (eller motsatsen kan inte).

READING INSTRUCTIONS FOR STANDARDS

These instructions cover the main principles for the use of provisions and external constraints in standardization deliverables.

Requirement
A requirement is an expression, in the content of a document, that conveys objectively verifiable criteria to be fulfilled, and from which no deviation is permitted if conformance with the document is to be claimed. Requirements are expressed by the auxiliary shall (or shall not for prohibition).

Recommendation
A recommendation is an expression, in the content of a document, that conveys a suggested possible choice or course of action deemed to be particularly suitable, without necessarily mentioning or excluding others. Recommendations are expressed by the auxiliary should (or should not for dissuasion).

Instruction

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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 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

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.

Introduction

Whistleblowing is the act of reporting suspected wrongdoing or risk of wrongdoing. Studies and experience demonstrate that a large proportion of wrongdoing comes to the attention of the affected organization via reports from persons within or close to the organization.

Organizations are increasingly considering introducing or improving internal whistleblowing policies and processes in response to regulation or on a voluntary basis.

This document provides guidance to organizations for establishing, implementing, maintaining and improving a whistleblowing management system, with the following outcomes:

a) encouraging and facilitating reporting of wrongdoing;

b) supporting and protecting whistleblowers and other interested parties involved;

c) ensuring reports of wrongdoing are dealt with in a proper and timely manner;

d) improving organizational culture and governance;

e) reducing the risks of wrongdoing.

Potential benefits for the organization include:

— allowing the organization to identify and address wrongdoing at the earliest opportunity;

— helping prevent or minimize loss of assets and aiding recovery of lost assets;

— ensuring compliance with organizational policies, procedures, and legal and social obligations;

— attracting and retaining personnel committed to the organization's values and culture;

— demonstrating sound, ethical governance practices to society, markets, regulators, owners and other interested parties.

An effective whistleblowing management system will build organizational trust by:

— demonstrating leadership commitment to preventing and addressing wrongdoing;

— encouraging people to come forward early with reports of wrongdoing;

— reducing and preventing detrimental treatment of whistleblowers and others involved;

— encouraging a culture of openness, transparency, integrity and accountability.

This document provides guidance for organizations to create a whistleblowing management system based on the principles of trust, impartiality and protection. It is adaptable, and its use will vary with the size, nature, complexity and jurisdiction of the organization's activities. It can assist an organization to improve its existing whistleblowing policy and procedures, or to comply with applicable whistleblowing legislation.

This document adopts the "harmonized structure" (i.e. clause sequence, common text and common terminology) developed by ISO to improve alignment among International Standards for management systems. Organizations may adopt this document as stand-alone guidance for their organization or along with other management system standards, including to address whistleblowing-related requirements in other ISO management systems.

Figure 1 is a conceptual overview of a recommended whistleblowing management system showing how the principles of trust, impartiality and protection overlay all elements of such a system.

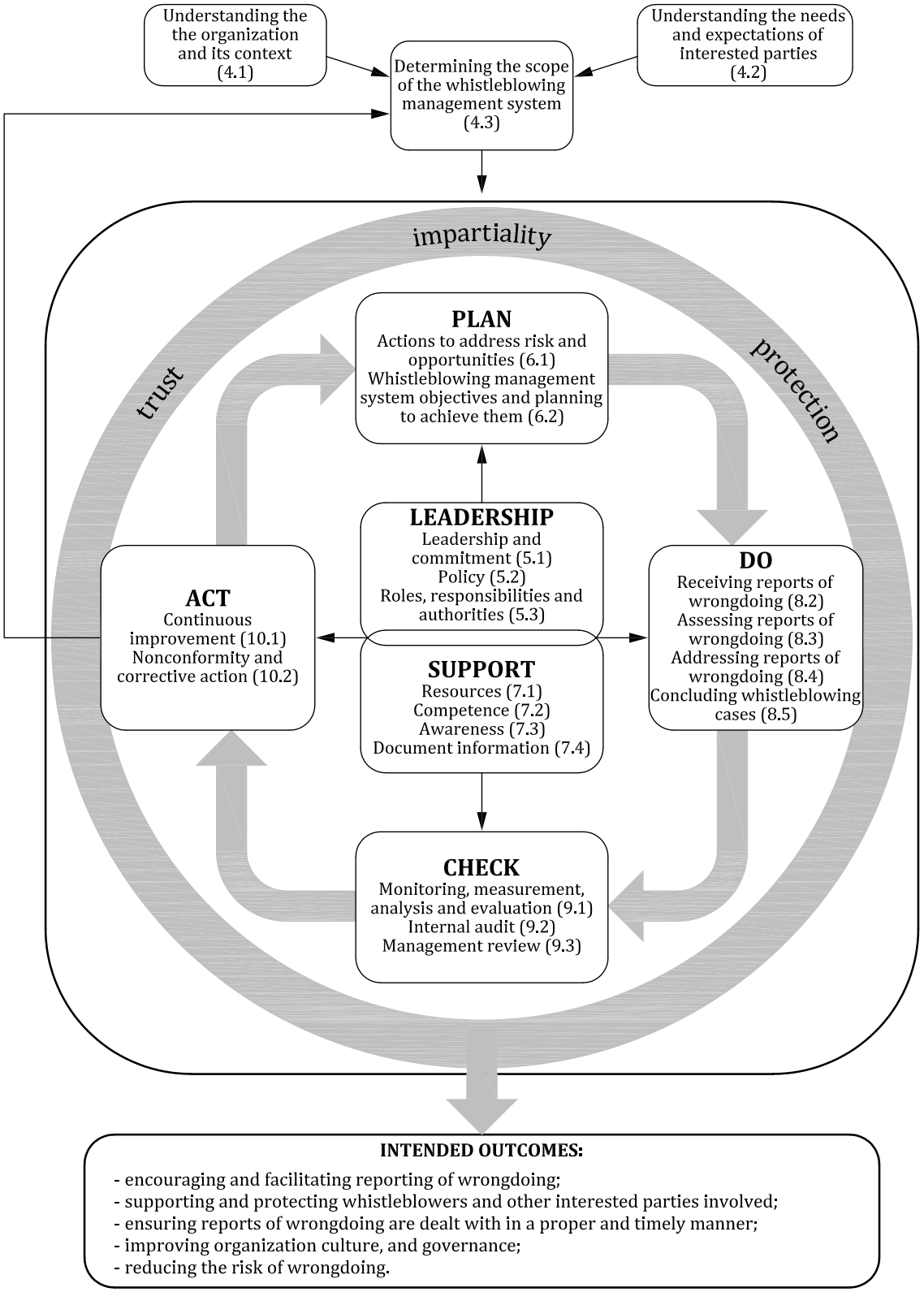

Figure 1 — Overview of a whistleblowing management system

Whistleblowing management systems — Guidelines

1 Scope

This document gives guidelines for establishing, implementing and maintaining an effective whistleblowing management system based on the principles of trust, impartiality and protection in the following four steps:

a) receiving reports of wrongdoing;

b) assessing reports of wrongdoing;

c) addressing reports of wrongdoing;

d) concluding whistleblowing cases.

The guidelines of this document are generic and intended to be applicable to all organizations, regardless of type, size, nature of activity, and whether in the public, private or not-for profit sectors.

The extent of application of these guidelines depends on the factors specified in 4.1, 4.2 and 4.3. The whistleblowing management system can be stand-alone or can be used as part of an overall management system.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological 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
management system
set of interrelated or interacting elements of an *organization* (3.2) to establish *policies* (3.7) and *objectives* (3.25), as well as *processes* (3.27) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The management system elements include the organization's structure, roles and responsibilities, planning and operation.

Note 3 to entry: This constitutes one of the common terms and core definitions of the harmonized structure for ISO management system standards.

3.2
organization
person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.25)

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.