

ICS 03.100.01

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**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/T 47432-2026

Compliance management systems - Evaluation of effectiveness

合规管理体系 有效性评价

(English Translation)

Issued on: April 30, 2026

Implemented on: November 1, 2026

Issued by: State Administration for Market Regulation

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Foreword

This document complies with the provisions of GB/T 1.1-2020 "Standardization Work Guidelines Part 1: Structure and Drafting Rules of Standardization Documents".

Drafting.

This document is modified to adopt ISO 37302:2025, "Guidelines for evaluating the effectiveness of compliance management systems".

This document has undergone the following structural adjustments compared to ISO

37302:2025.

---Added section 6.1 "General Rules";

---Chapter 7, "Determination of Evaluation Results," has been added;

---Chapter 8 corresponds to Chapter 7 in ISO 37302:2025.

The technical differences between this document and ISO 37302:2025, and the reasons therefor, are as follows.

---The scope of Chapter 1 has been changed to maintain consistency with the following content;

---The definition of the term "evaluation index" has been changed to align with Chinese standards;

---The term "evaluation indicator framework" has been removed, as there is no ambiguity in the understanding of this term among different stakeholders;

---A general rule (see 6.1) has been added to describe the relationship between "policies and procedures," "behaviors and culture," and "results and impacts" in the evaluation process;

---Change the recommended clauses in Chapter 6 to required clauses to conform to the writing rules of the evaluation criteria;

---Added a scoring calculation method and evaluation result levels (see Chapter 7) to ensure the availability of evaluation results;

---Added factors to determine the coordination and integration of evaluation objectives [see 8.1e)], to take into account the evaluation process and other relevant management systems.

coordination.

The following editorial changes have been made to this document.

---The standard's name has been changed to "Evaluation of the Effectiveness of Compliance Management Systems";

---Appendix A in ISO 37302:2025 has been deleted, and a new Appendix A (informative) "Example of weights for evaluation index system" has been added.

Please note that some content in this document may involve patents. The issuing organization of this document assumes no responsibility for identifying patents.

This document was proposed and is under the jurisdiction of the China National Institute of Standardization.

Introduction

An effective compliance management system can provide strong support for an organization's success and sustainable development, demonstrating that the organization complies with relevant laws and regulations.

Commitment to regulations, regulatory requirements, industry standards, organizational standards, good governance principles, best practices, ethical norms, and stakeholder expectations.

Yes. When compliance is integrated into organizational culture, compliance policies and procedures are implemented in the organization's daily operations and reflected in employees' daily behavior and intentions.

Only when compliance is integrated can it be sustainable. Integrated compliance has a positive impact on an organization's overall compliance performance.

GB/T 35770-2022 "Compliance Management System Requirements and Guidance for Use" provides guidelines for organizations to establish, develop, implement, evaluate, maintain, and improve compliance management systems.

An effective compliance management system defines requirements and provides guidance. This document, based on GB/T 35770-2022, constructs a...

A complete framework for evaluating the effectiveness of a compliance management system. This framework targets each aspect of a compliance management system conforming to GB/T 35770-2022.

Each component has its own evaluation index, which may be based on a specific component of GB/T 35770-2022.

One requirement or a set of requirements.

This document was drafted based on ISO 37302:2025, and its structural framework and technical content are kept as consistent as possible with international standards.

To meet the needs of various stakeholders in my country for evaluating the effectiveness of compliance management systems, the evaluation guidelines have been adjusted to reflect the evaluation criteria.

While accurate, the evaluation index system and its value rules remain the same as ISO 37302:2025, in order to promote cooperation with various stakeholders at the international level.

This document establishes the principles for evaluating the effectiveness of a compliance management system, describes the evaluation methodology, and stipulates the evaluation process. It also fosters understanding, communication, and cooperation among all parties.

This includes the price indicator system, value selection rules, and rules for forming evaluation results. By establishing clear evaluation rules, on the one hand, it supports...

The implementation of the requirements in GB/T 35770 regarding the evaluation of the effectiveness of a compliance management system (including monitoring, measurement, analysis, evaluation, and management review) this ensures continuous improvement for any type of organization; on the other hand, it provides a basis for the organization itself, regulatory agencies, and third parties to evaluate the organization's compliance management.

The system provides actionable rules and methods for assessing the effectiveness of the system, thereby ensuring the objectivity, consistency, and comparability of the evaluation results.

Evaluation of the effectiveness of the compliance management system

1 Scope

This document establishes the principles and evaluation indicator framework for evaluating the effectiveness of the compliance management system, specifies the rules for determining the values of the evaluation indicators, and describes...

The rules for forming evaluation results were established.

This document applies to the effectiveness evaluation activities of all organizations' compliance management systems, regardless of their type, size, or nature, and regardless of whether they are public or private.

Public, private, or non-profit.

2 Normative references

The contents of the following documents, through normative references within the text, constitute essential provisions of this document. Dated citations are not included.

For references to documents, only the version corresponding to that date applies to this document; for undated references, the latest version (including all amendments) applies.

This document.

GB/T 35770 Compliance Management Systems Requirements and Guidance for Use (GB/T 35770-2022, ISO 37301:2021, IDT)

3 Terms and Definitions

The terms and definitions defined in GB/T 35770 and the following terms and definitions apply to this document.