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Human resource management — Compliance and ethics metrics cluster

*Management des ressources humaines — Indicateurs de mesure pour
la conformité et l'éthique*



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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).

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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 260, *Human resource management*.

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.

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Introduction

ISO 30414 highlights guidelines on the following core human capital reporting (HCR) areas:

- compliance and ethics;
- costs;
- diversity;
- leadership;
- organizational culture;
- organizational health, safety and well-being;
- productivity;
- recruitment, mobility and turnover;
- skills and capabilities;
- succession planning;
- workforce availability.

This document deals specifically with the cluster of metrics in the compliance and ethics area. Compliance with codes of ethics and internal policies is a major challenge for all kind of organizations. ISO 30414:2018, 4.7.2, describes the significance of the compliance and ethics metrics.

The metrics within the compliance and ethics cluster, as documented in ISO 30414, are:

1) Number and type of grievance filed.

A grievance is a formal complaint within the workplace. There are many reasons as to why a grievance can be raised, e.g. harassment, discrimination.

2) Number and type of concluded disciplinary actions.

A disciplinary action means the process for dealing with job-related behaviour that does not meet expected and communicated workplace regulations.

3) Percentage of employees who have completed training on compliance and ethics.

This metric is defined as the percentage of employees who have completed training on the content of business ethics, e.g. the code of conduct of the organization, compliance rules or moral dilemmas in a given period.

4) Disputes referred to external parties.

This metric indicates the work environment where the external resolution of internal disputes becomes necessary. The number of workforce-related disputes that are reported as being referred to third parties with appropriate jurisdiction provides a picture of the organizational climate.

5) Number, type and source of external audit findings and actions arising from these.

This document describes the following components for each of the above metrics:

- description
- purpose
- formula

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- how to use
- intended user(s)
- contextual factors
- predictive factors.