

EXECUTIVE SUMMARY / FICTIONAL SAMPLE

Program Assessment & Roadmap

Northstar Components - fictional organisation. Prepared as a prospect showcase; no real organisation has been assessed.

What this report is about

A screening view of programme robustness across 50 ISO 37301-related checks, including the 2024 climate considerations.

Why you may need it

Use this before deciding where to invest improvement effort or commission a more detailed evidence review.

MAIN FINDINGS

Indicative range 60-68/100; 46 checks rated and four unresolved. This is not an ISO conformity score.

What you will find in this report

Area profile; all 50 responses and evidence notes; prioritised improvement actions.

Recommended next decision

Resolve the four unknowns and review the lowest-rated safeguards with their owners.

Reading note: all inputs, evidence references and findings are invented. The following pages illustrate the tool output plus editorial interpretation; they are not an independent assurance opinion.

CAMP 01 / SAMPLE REPORT 01

Program Assessment & Roadmap

Northstar Components - fictional organization
Review basis: dummy entries prepared for design discussion / 15 September 2026

DECISION IN FOCUS

Where should the program focus next?

60-68

Indicative index range / 100

46

Checks rated out of 50

4

Checks needing evidence



Dark: entered rating. Gold extension: unresolved range.

What the example suggests

The example shows defined practices alongside implementation gaps and unresolved checks. Resolve uncertainty and validate the lowest-rated safeguards before interpreting the whole-program picture.

Self-reported screening against requirement areas. The index is a Sherpa measure, not an ISO score, conformity decision or certification.

Supporting detail

THE BASIS FOR THE EXAMPLE

Where to focus first

Priority safeguards rated 0-1 appear first, followed by lower ratings. This sequence is generated by the tool; the organization should validate it against actual risk.

Clause / rating	Improvement prompt	Evidence to examine
5.1.3 / 1/4	Confirm the function's independence, authority and direct governing-body access.	A compliance charter, reporting lines, escalation arrangements and examples of direct access.
8.2 / 1/4	Map controls to risks and obligations, then establish a practical testing cycle.	A risk-to-control map, test results, periodic reviews and follow-up records.
7.2.1 / 1/4	Document required competencies and verify that gaps are being closed.	Competency requirements, records and checks on the effectiveness of development actions.
9.3.1 / 1/4	Schedule management-system reviews with the appropriate leadership participation.	Planned leadership reviews and records showing evaluation of the system.
4.4 / 2/4	Map the key processes and close gaps in ownership or coordination.	A process map showing responsibilities, inputs, outputs and connections between compliance activities.
4.6 / 2/4	Include external processes and establish both periodic and change-triggered reassessment.	Third-party risk assessments and records of periodic or change-triggered reviews.

Related Sherpa camps

Camp 05: Training & Culture - 4 linked checks rated 0-2.

Camp 04: Policies & Controls - 2 linked checks rated 0-2.

Camp 08: Monitoring & Assurance - 2 linked checks rated 0-2.

From findings to action

Proposed follow-up for this fictional example; these owners and dates are editorial additions for report-design review.

Action	Owner / target	Evidence for review
Gather evidence for unresolved checks.	Compliance Lead 2026-09-30	Every unknown has evidence or a documented follow-up.
Validate the highest-priority safeguards with process owners.	Managing Director 2026-10-15	Agreed actions have owners, dates and verification criteria.
Revisit the profile after corrective action.	Compliance Lead 2026-11-15	Changes in ratings are supported by evidence.

Questions for the review meeting

- 01 / Is the evidence sufficient for the conclusion, and what remains uncertain?
- 02 / Does each action have an owner with authority and resources to deliver it?
- 03 / What result would justify closure, and who will verify it?

HOW TO USE THIS REPORT

Read the summary first, challenge the supporting detail, then agree the next action. Keep an editable draft with the record so future changes can be explained.

Basis and limitations

Self-reported screening against requirement areas. The index is a Sherpa measure, not an ISO score, conformity decision or certification.

All organizations, cases, evidence references, ratings and operational findings in this report are fictional. No source documents were inspected. These PDFs are proposed report designs generated from dummy inputs and the current tool models; they are separate from the website's existing print layouts.

Companion editable input: 01-Program-Assessment.json. Import it into the corresponding local tool to reproduce the sample entries. The narrative and meeting agenda are editorial additions for discussion.

Complete assessment record

All 50 checks, including climate relevance and stakeholder considerations. The questions are original screening prompts from the tool; consult the standard for the full requirements.

Check / clause	Screening prompt	Rating	Dummy evidence note
01 / 4.1	Do you understand the internal and external factors that shape your compliance program?	Not sure	DUMMY evidence 01: Process owner confirmation pending.
02 / 4.1 / Amd 1:2024	Have you determined whether climate change is relevant to your compliance management system?	3/4	DUMMY evidence 02: Workshop self-report; verify against the current controlled record.
03 / 4.2	Have you identified whose expectations matter and which requirements your program will address?	3/4	DUMMY evidence 03: Workshop self-report; verify against the current controlled record.
04 / 4.3	Is the scope of your compliance program clearly defined and documented?	3/4	DUMMY evidence 04: Workshop self-report; verify against the current controlled record.
05 / 4.4	Do your compliance processes operate as a connected management system?	2/4	DUMMY evidence 05: Workshop self-report; verify against the current controlled record.
06 / 4.5	Do you systematically identify and document the obligations that apply to your activities?	3/4	DUMMY evidence 06: Workshop self-report; verify against the current controlled record.
07 / 4.5	Can you identify changed obligations and put the necessary changes into practice?	3/4	DUMMY evidence 07: Workshop self-report; verify against the current controlled record.
08 / 4.6	Do you identify, analyze and evaluate compliance risks using your obligations and operations?	3/4	DUMMY evidence 08: Workshop self-report; verify against the current controlled record.
09 / 4.6	Does your risk assessment cover third parties and get refreshed when circumstances change?	2/4	DUMMY evidence 09: Workshop self-report; verify against the current controlled record.
10 / 5.1.1	Do leaders actively integrate compliance into business decisions and follow through on issues?	3/4	DUMMY evidence 10: Workshop self-report; verify against the current controlled record.

Check / clause	Screening prompt	Rating	Dummy evidence note
11 / 5.1.2	Do leaders consistently model and reinforce compliant behavior?	3/4	DUMMY evidence 11: Workshop self-report; verify against the current controlled record.
12 / 5.1.3	Can the compliance function act independently and reach the governing body directly?	1/4	DUMMY evidence 12: Workshop self-report; verify against the current controlled record.
13 / 5.2	Does your compliance policy give people clear, credible direction?	2/4	DUMMY evidence 13: Workshop self-report; verify against the current controlled record.
14 / 5.3.1	Are compliance responsibilities assigned, communicated and subject to leadership oversight?	Not sure	DUMMY evidence 14: Process owner confirmation pending.
15 / 5.3.1	Does top management provide resources, reporting and meaningful accountability?	3/4	DUMMY evidence 15: Workshop self-report; verify against the current controlled record.
16 / 5.3.2	Can the compliance function perform its full role with the access and advice it needs?	3/4	DUMMY evidence 16: Workshop self-report; verify against the current controlled record.
17 / 5.3.3-5.3.4	Do managers and personnel take responsibility for compliance in their own work?	2/4	DUMMY evidence 17: Workshop self-report; verify against the current controlled record.
18 / 6.1	Does planning address risks and opportunities that affect the program's success?	3/4	DUMMY evidence 18: Workshop self-report; verify against the current controlled record.
19 / 6.1	Are planned actions integrated into work and checked for effectiveness?	3/4	DUMMY evidence 19: Workshop self-report; verify against the current controlled record.
20 / 6.2	Are compliance objectives documented, monitored and backed by delivery plans?	3/4	DUMMY evidence 20: Workshop self-report; verify against the current controlled record.
21 / 6.3	Are changes to the compliance system deliberately planned?	2/4	DUMMY evidence 21: Workshop self-report; verify against the current controlled record.

Check / clause	Screening prompt	Rating	Dummy evidence note
22 / 7.1	Do you identify and provide the resources needed to run and improve the program?	3/4	DUMMY evidence 22: Workshop self-report; verify against the current controlled record.
23 / 7.2.1	Can you demonstrate that people affecting compliance performance are competent?	1/4	DUMMY evidence 23: Workshop self-report; verify against the current controlled record.
24 / 7.2.2	Do employment processes establish compliance expectations and apply risk-based due diligence?	3/4	DUMMY evidence 24: Workshop self-report; verify against the current controlled record.
25 / 7.2.2	Are targets, bonuses and incentives reviewed for pressures that could encourage misconduct?	2/4	DUMMY evidence 25: Workshop self-report; verify against the current controlled record.
26 / 7.2.3	Is employee training relevant, repeated and assessed for effectiveness?	3/4	DUMMY evidence 26: Workshop self-report; verify against the current controlled record.
27 / 7.2.3	Do relevant third parties receive compliance awareness and training appropriate to their risk?	Not sure	DUMMY evidence 27: Process owner confirmation pending.
28 / 7.3	Do people understand their own obligations, the policy and how to raise concerns?	3/4	DUMMY evidence 28: Workshop self-report; verify against the current controlled record.
29 / 7.4	Are compliance communications planned, reliable and accessible to their audiences?	2/4	DUMMY evidence 29: Workshop self-report; verify against the current controlled record.
30 / 7.5.1-7.5.3	Is necessary compliance information created, approved, available and protected?	3/4	DUMMY evidence 30: Workshop self-report; verify against the current controlled record.
31 / 8.1	Do operational processes have clear criteria and evidence that work follows them?	3/4	DUMMY evidence 31: Workshop self-report; verify against the current controlled record.
32 / 8.1	Are operational changes controlled and unintended consequences addressed?	3/4	DUMMY evidence 32: Workshop self-report; verify against the current controlled record.

Check / clause	Screening prompt	Rating	Dummy evidence note
33 / 8.1	Are compliance-relevant external processes, products and services controlled and monitored?	2/4	DUMMY evidence 33: Workshop self-report; verify against the current controlled record.
34 / 8.2	Are controls tied to obligations and risks, maintained and tested periodically?	1/4	DUMMY evidence 34: Workshop self-report; verify against the current controlled record.
35 / 8.3	Can people safely report concerns, including anonymously, and obtain advice?	3/4	DUMMY evidence 35: Workshop self-report; verify against the current controlled record.
36 / 8.4	Are concerns assessed and investigated fairly by competent people free of conflicts?	3/4	DUMMY evidence 36: Workshop self-report; verify against the current controlled record.
37 / 8.4	Are investigation records retained, outcomes reported and lessons used to improve the program?	2/4	DUMMY evidence 37: Workshop self-report; verify against the current controlled record.
38 / 9.1.1	Do you define what to measure, how and when, and use results to evaluate effectiveness?	3/4	DUMMY evidence 38: Workshop self-report; verify against the current controlled record.
39 / 9.1.2	Do you seek feedback from different sources and act on what it reveals?	3/4	DUMMY evidence 39: Workshop self-report; verify against the current controlled record.
40 / 9.1.3	Do your indicators help assess compliance performance and progress against objectives?	Not sure	DUMMY evidence 40: Process owner confirmation pending.
41 / 9.1.4	Does reporting deliver reliable information to the right people, routinely and by exception?	2/4	DUMMY evidence 41: Workshop self-report; verify against the current controlled record.
42 / 9.1.5	Are accurate and current compliance activity records retained for monitoring and review?	3/4	DUMMY evidence 42: Workshop self-report; verify against the current controlled record.
43 / 9.2.1	Do planned internal audits examine both conformity and effective implementation?	3/4	DUMMY evidence 43: Workshop self-report; verify against the current controlled record.

Check / clause	Screening prompt	Rating	Dummy evidence note
44 / 9.2.2	Is the audit program planned, impartial, risk-informed and documented?	3/4	DUMMY evidence 44: Workshop self-report; verify against the current controlled record.
45 / 9.3.1	Do the governing body and top management review the system at planned intervals?	1/4	DUMMY evidence 45: Workshop self-report; verify against the current controlled record.
46 / 9.3.2	Do management reviews use the full range of performance and contextual information?	3/4	DUMMY evidence 46: Workshop self-report; verify against the current controlled record.
47 / 9.3.3	Are review decisions about improvements and system changes documented?	3/4	DUMMY evidence 47: Workshop self-report; verify against the current controlled record.
48 / 10.1	Do you continually improve the system's suitability, adequacy and effectiveness?	3/4	DUMMY evidence 48: Workshop self-report; verify against the current controlled record.
49 / 10.2	When a problem occurs, do you correct it, address consequences and remove its causes?	2/4	DUMMY evidence 49: Workshop self-report; verify against the current controlled record.
50 / 10.2	Do you verify corrective action worked and update the system where needed?	3/4	DUMMY evidence 50: Workshop self-report; verify against the current controlled record.