



ISO 37001

PREVENTING BRIBERY:

ENSURING COMPLIANCE WITH ISO 37001

REDUCING RISK, ENSURING COMPLIANCE:

THE ISO 37001 STANDARD FOR ANTI-BRIBERY MANAGEMENT SYSTEMS

In the age of **transparency**, no organization can afford to take the risk of bribery lightly. Investors, business associates, personnel and shareholders all need to be assured that you have made every possible effort to prevent bribery at all levels of the organization. Implementing the new **ISO 37001** standard and **certification** through an independent third party such as **DQS** enables you to do exactly that – here's how!

This brochure will guide you through the certification process, but if you have any further questions, don't hesitate to contact us at any time.



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ISO 37001: THE NEW STANDARD FOR ANTI-BRIBERY MANAGEMENT

What is the focus of the standard?

The ISO 37001 standard, published in October 2016, is designed to help an organization implement and maintain a proactive anti-bribery system. The standard, which replaced the British Standard 10500, provides a number of requirements that represent globally recognized good practice for anti-bribery. It deals with bribery by the organization and bribery of the organization.

Implementing a system in accordance with the standard considerably reduces the risk of malpractice, by installing control points where appropriate. In addition, ISO 37001 not only focuses on preventing bribery, but also on dealing with it effectively if it occurs.

Is ISO 37001 a certification standard?

During the development of the standard, a question that has been hotly debated is whether ISO 37001 should be a certification standard (like for example

ISO 9001 and ISO 14001) or a guidance standard (like ISO 26000). Due to the demands of the markets, ISO has eventually chosen to develop ISO 37001 as a certification standard, meaning that independent certification bodies such as DQS can perform certification audits to confirm that organizations meet the requirements of the standard.

What is the target audience of the standard?

The requirements of ISO 37001 apply to organizations of any kind and size.

Importantly, ISO 37001 is based on the principle of **proportionality**, which means that the anti-bribery measures must be proportionate to the size of the organization, the location and sectors in which it operates, as well as the scale and complexity of its activities. This makes the standard equally suitable for **SMEs**, which may not always face the same bribery risks as more complex organizations.

Implementing ISO 37001: What the Standard requires you to do

- Define an anti-bribery policy and program for your organization
- Communicate the policy and programme to all stakeholders, ranging from employees to business associates such as suppliers, shareholders, investors, consultants, etc.
- Appoint a compliance manager to supervise the program
- Provide anti-bribery training to staff
- Assess bribery risks, including appropriate due diligence
- Take reasonable and proportionate steps to ensure that controlled organisations and business associates have implemented appropriate anti-bribery controls. This applies for example to your supply chain.
- Verify as far as reasonably possible that staff will comply with the anti-bribery policy
- Verify that gifts, hospitality, donations and similar benefits comply with the policy
- Implement appropriate financial, procurement and other commercial controls so as to help prevent the risk of bribery
- Implement reporting and whistle-blowing procedures
- Investigate and deal appropriately with any actual or suspected bribery

WHAT ISO 37001 CAN DO FOR YOU: THE BENEFITS

Assurance to internal and external Stakeholders

After implementing the requirements of the standard, certification to ISO 37001 provides assurance to management, investors, business associates, personnel, and other stakeholders that your organization has done all that can reasonably be expected to eliminate bribery within its sphere of influence. As such, the certification helps you meet the needs of your stakeholders and can give you a **competitive edge**.



The Benefits of Implementing ISO 37001

- No need to reinvent the wheel: ISO 37001 builds on years of experience with class-leading anti-bribery management systems. As such, the standard provides invaluable **guidance** to organizations in the process of developing anti-bribery procedures.
- Adopting an effective anti-bribery management system helps you ensure that suppliers, sub-contractors and agents are committed to anti-bribery best practice.
- Implementing the measures of the standard **reduces the risk** of malpractice.
- Commitment to the standard and its principles promotes **trust** and **confidence**. The checks and balances introduced by the system will help you avoid involvement in bribery and the ensuing reputational damage.
- Implementation and certification can be used as evidence of **due diligence** in case of disputes.
- The ISO 37001 standard follows the same structure as ISO 9001, ISO 14001 and ISO 45001 and can easily be **integrated** into existing management systems.
- During the certification audit, our auditors detect potential for improvement and make recommendations to **increase the effectiveness** of your anti-bribery system.

THE ROAD TO ISO 37001 CERTIFICATION

During the implementation process, DQS offers an **optional gap analysis** to identify potential for improvement. This enables you to prepare for the certification audit as efficiently as possible.

Once your company is ready, we set the audit date and select an auditor with the necessary experience and competences in your sector.

During the **initial assessment**, we evaluate whether your company meets the requirements of ISO 37001. The audit duration depends on the size and complexity of your operations.

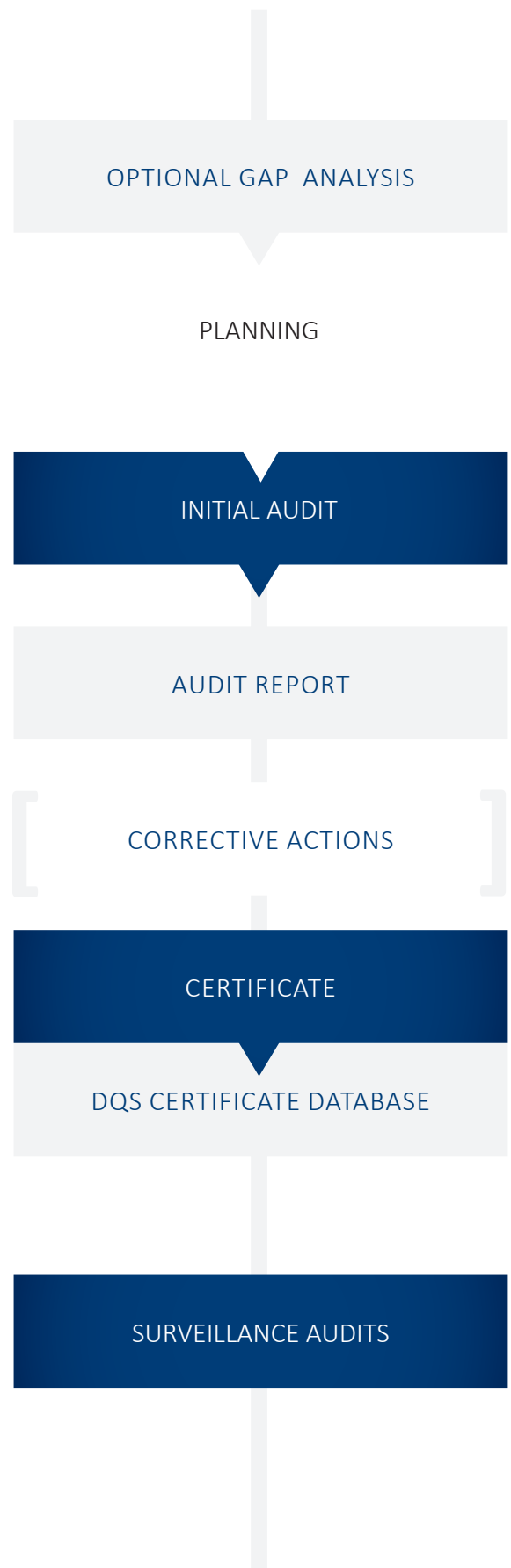
After the audit, you will receive a detailed **report**, outlining our findings and describing the potential for improvement.

Should there be any non-conformities, you will have three months time to correct them and implement the appropriate **corrective measures**.

As soon as all non-conformities have been closed, the **ISO 37001 Certificate** will be issued, with a validity of three years. The certificate will be published in the publicly accessible DQS Database.

In order to maintain the validity of the certificate, yearly **surveillance audits** will take place in the second and third year of the certification cycle. A detailed audit report is part of our service.

The certificate will expire **three years** after the initial audit. In case you wish to renew the certificate, a new three-year-cycle begins.



MAXIMIZING VISIBILITY: THE GLOBAL CONFORMITY MARK

Achieving certification to ISO 37001 is a feat you can be proud of. In order to help you highlight this success and make it public, DQS has developed the **Global Conformity Mark (GC-Mark®)** labeling program.

Any organization certified by DQS according to ISO 37001 will automatically receive the Global Conformity Mark certificate and label „**Verified Anti-Bribery Management**“ - on top of the ISO 37001 certificate and without additional charges.

This enables you to integrate ISO certification into your communication and branding strategy. In contrast to ISO certification, which the general public usually struggles to understand, the Global Conformity Mark has been designed specifically for marketing and communication purposes.

As such, it **translates ISO certification into a visually attractive and easily understandable message.**



**ISO 37001
Certificate**



**Global Conformity
Certificate
„Verified Anti-Bribery
Management“**



**Global Conformity
Label
„Verified Anti-Bribery
Management“**

FIVE REASONS TO CHOOSE DQS AS YOUR CERTIFICATION PARTNER

1

The Competence of our Auditors

For ISO 37001 audits, we only commission auditors who have years of experience in the field of compliance management. This way we can ensure that our auditors understand your business processes and assess the implementation of the standard appropriately.

2

Recognition in the Industry

DQS has over 50,000 certified sites all across the globe. This means that your clients know our reputation as a competent and trustworthy certification body and understand the value of a DQS certificate.

3

Informative Audit Reports

An intelligently designed audit report is an integral part of our service. Through stringent internal and external quality controls, we ensure that our audit reports are understandable and constructive. We identify blind spots, make suggestions for improvements and provide valuable input for your company.

4

30 Years of Experience in Certification

Auditing is our craft. Since our foundation in 1985, it has been our mission to assess and improve quality management systems and processes, as well as strengthen mutual trust among organizations and their stakeholders through regular independent audits.

5

We Support You Every Step of the Way

From the quotation to the final certificate issue - we support you in each audit phase and are always at your disposal, every step of the way.

30 YEARS OF DQS:



3

decades of experience

82

offices in 66
countries

3000

auditors across the
globe

50 000

certified sites in 130
countries

80 000

assessment days each
year

ABOUT DQS

DQS is your partner for all assessment services relating to consumer safety, sustainability and quality management. Besides the certification of management systems, products and services, our portfolio also includes supplier audits, ethical audits as well as inspection and diagnostics.



OFFICES ALL OVER THE GLOBE