

ISO 37001

ANTI-BRIBERY MANAGEMENT SYSTEMS

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Roundtable for Companies
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On the road to a change of paradigm

- **The managerial challenge:**
 - **Creating**
 - A global compliance culture
 - Based on integrity
 - Capable of being communicated
- **The legal challenge**
 - **The responsibility of legal person**
 - **Effective ethics and compliance program**
 - reduces culpability score for corporations (FCPA)
 - Defense against failure to prevent bribery (UKBA)
 - Failure to take all the reasonable organisational measures to prevent bribery is condition of punishability (Swiss Criminal Code)



Prepared by the ICC Commission on
Corporate Responsibility and Anti-corruption

ICC Rules on Combating Corruption

Policy
statement

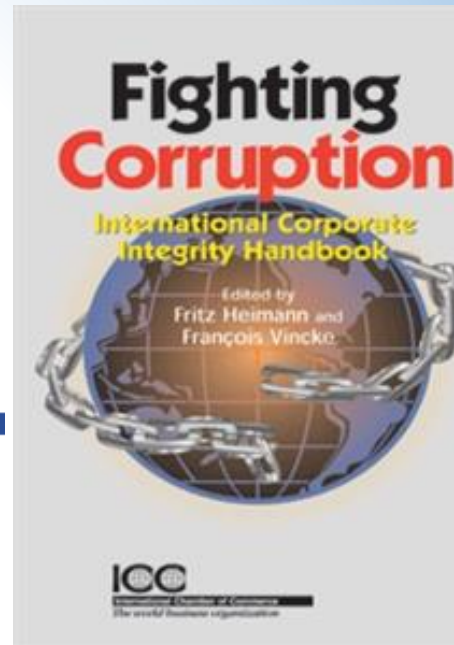


Prepared by the ICC Commission on
Corporate Responsibility and Anti-corruption

ICC Guidelines on Agents, Intermediaries and Other Third Parties



International Chamber of Commerce
The world business organization



ICC Guidelines on Whistleblowing

Prepared by the ICC Commission on Anti-Corruption



ICC Guidelines on Gifts & Hospitality



Anti-corruption Clause

JPM – 6.10.2016



Who is ISO?

- **International Organisation for Standardisation**
- **Non-governmental, international**
- **Based in Geneva**
- **163 national standards bodies**
 - **Participate and vote in technical and policy meetings**
 - **Adopt standards nationally**
 - **Jordan Standards and Metrology Organisation JSMO**



Over 20'000 standards including:

9001 Quality systems

19600 Compliance

26000 Social responsibility

31000 Risk Management

3166 Country codes

4217 Currencies

37001 Anti-bribery management systems



Project Committee 278 – PC 278

- **141 experts from 50 countries and 30 liaison representatives**
- **6 meetings**
 - **Preliminary meeting London – June 2013**
 - **Madrid – March 2014**
 - **Miami – September 2014**
 - **Paris – March 2015**
 - **Kuala – Lumpur – September 2015**
 - **Mexico – June 2016**

Scope of the standard

- **Bribery in private, public and not-for-profit sectors**
- **Active and passive bribery**
 - **By or of the organization, its personnel or business associates**
- **Direct and indirect bribery**
- **Applicable to all organizations or parts of an organization regardless of type, size and nature of activity**

Main elements of the anti-bribery management system

- **Leadership**
 - Tone from the top
 - Policy
 - Roles and responsibilities
 - Anti-bribery compliance function
 - Delegated decision-making
- **Support**
 - Resources
 - Competence
 - Communication
- **Operation**
 - Due diligence
 - Controls
 - Business associates
 - Gifts, hospitality, donations
 - Raising concerns
 - Investigations
- **Performance evaluation**
- **Improvement**

What is new with ISO 37001?

- **Builds on existing best practices**
- **Applicable globally**
- **More detailed than other tools**
- **Includes a comprehensive guidance document**
- **Certifiable**

Benefits of ISO 37001

- **Full guidance on anti-bribery management**
- **Flexible, risk based**
- **Assurance to management, investors business associates, personnel on bribery prevention**
- **Evidence of reasonable measures to prevent bribery**

Thank you!

Dr. J.P. Mean

<http://anticorruptionexperts.com>