



ISO 37001:2016

Anti-bribery management systems

A PRACTICAL GUIDE



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

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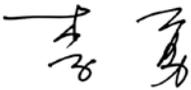
Foreword

Bribery is often viewed as a “necessary” evil that facilitates business and expedites work. This perception is not only wrong, it places a heavy burden on people, economies and society as a whole. Loss of business and fines resulting from bribery and fraud, and concomitant reputational damage, can be severely detrimental to companies, causing billions in lost revenue. This begs the question: Is your organization willing to work with a company that has been embroiled in a bribery scandal? Such organizations may face harsh penalties by regulatory bodies and studies show that employee morale suffers when individuals in their organization are found guilty of bribery.

Taking steps to deter unethical practices in the workforce is therefore essential to establish trust. ISO 37001:2016, *Anti-bribery management systems – Requirements with guidance for use*, is designed to help an organization implement and maintain a proactive anti-bribery system. Its flagship guidance presents globally recognized best practice to prevent, detect and deal with bribery at all levels of an organization. But the standard’s requirements go beyond the organization’s own operations, covering every aspect of its global value chain. To help with its implementation, technical committee ISO/TC 309, *Governance of organizations*, has developed a handbook that provides users of ISO 37001:2016 with advice on bribery and the different measures they can take to prevent it.

ISO 37001:2016 – Anti-bribery management systems – A practical guide contains detailed information, case studies and examples that bring clarity to the standard’s requirements. Suitable for organizations of all types and sizes, this handbook is particularly useful for small and medium-sized enterprises.

Responding to the growing threat of bribery and corruption, the International Organization for Standardization (ISO) and United Nations Industrial Development Organization (UNIDO) have joined forces in publishing this handbook that will help users of ISO 37001:2016 create a culture of integrity and compliance in their workforce. We hope it will provide all the support you need to put in place robust controls and processes to protect your organization from the bribery risks it faces.



Li Yong

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Introduction

About this handbook

This handbook provides guidance on developing and implementing an anti-bribery management system, based on the International Standard ISO 37001:2016, *Anti-bribery management systems – Requirements with guidance for use*. For brevity in this handbook, ISO 37001 refers to the 2016 version of the standard. The requirements and guidance contained within ISO 37001 have been developed to be applicable (and useful) to any type of organization, regardless of its sector, management structure, size, location, or products and services.

ISO 37001 defines “organization” as a person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives. This includes, for example: sole traders, companies, corporations, firms, enterprises, public authorities, partnerships, charities or institutions. It can also include parts or combinations of any of these entities, as well as potentially others. Examples of different organizational types can include: manufacturers, distributors, schools, law firms, financial institutions, foundations, public hospitals or local governments. While ISO 37001 can be applied to all these various kinds of organizations, this handbook has been developed to assist new, existing, and potential future

ISO 37001 practitioners, including those in small and medium sized organizations that do not have the same resources as larger organizations.

This handbook is organized in the following sections to enable readers to reference key sections as needed, or to read through as preferred:

About management systems	Describes what management systems are about and why an organization should have one.
About bribery	Provides an overview of bribery and why organizations should implement measures to prevent and detect bribery in their operations, if it occurs.
How to start	Practical advice on different options to introduce an anti-bribery management system into an organization, or update an existing one.
ISO 37001 Requirements	Central section of the handbook to help readers better understand specific requirements of ISO 37001, together with examples and suggestions on how to meet these requirements.
Appendix I	Short description of the various assessment options and of certification.
Appendix II	Diagrams and templates for elements of ISO 37001.
Appendix III	Comparison of ISO 37001 with the main internationally recognized anti-bribery tools.
Appendix IV	Case studies to illustrate practical questions that arise when implementing ISO 37001.
Bibliography	List of documents relevant to ISO 37001 including ISO documents, international conventions and documented resources that are helpful when implementing ISO 37001.