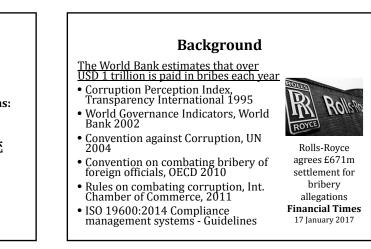


#### ISO 37001 Anti-bribery management systems: An Introduction

## 廉者自廉: 淺談ISO 37001反賄管理系統

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# What is ISO 37001 ABMS

- Developed by ISO/PC 278
  37 'P'-members and 19 'O'-members
- Development from 2013 to 2016 with meetings in
  - London, UK
    Madrid, Spain
    Miami, USA

  - Paris, FranceKuala Lumpur, Malaysia
  - Mexico City, Mexico
- Published on 15 October 2016
- Based on Annex SL (risk based thinking)

Corruption: illegal, bad, or dishonest behaviour, especially by people in positions of power (Cambridge dictionary) Bribery: offering, promising, giving, accepting or soliciting of an undue advantage (ISO 37001)

#### **Purpose**

- Specifies requirements and provides guidance for establishing, implementing, maintaining, reviewing and improving an anti-bribery management system.
- Instills an anti-bribery culture within an organization and implement appropriate controls, which will in turn increase the chance of detecting bribery and reduce its likelihood in the first place.
- Facilitates organization to comply with applicable requirements.
- Applicable only to bribery. Does not address fraud, cartels and other anti-trust/competition offences, money-laundering or other activities related to corrupt practices.

#### **Consistency in anti-bribery performance**

#### **Benefits**

- Enhance anti-bribery controls
- Reduce anti-bribery risks
- Demonstrate due diligence
- Facilitate adoption by the value chain
- Emerge as an integral part of CSR

#### Structure

- 1. Scope
- 2. Normative references
- 3. Terms and definitions
- 4. Context of the organization
- 5. Leadership
- 6. Planning
- 7. Support
- 8. Operation
- 9. Performance evaluation
- 10. Improvement

#### Planning

- Determine internal and external factors
- Understand needs and expectations of stakeholders
- Determine scope and boundary of the ABMS
- Assess anti-bribery risks
- Establish policy and objectives (with action plan)
- Ensure availability of resources
- Define roles and responsibilities
- Anti-bribery compliance function
- Plan to address risks and opportunities

Ensure top management leadership and commitment

## Controls

- Employment process
- Due diligence on risk assessment
- Financial controls
- Non-financial controls
- Control on business associates
- Gift, hospitality, donations and similar benefits

### **Reasonable and proportionate**

## **Checking and improvement**

- Monitoring and measurement
- Analysis and evaluation
- Internal audit
- Reviews by
  - Anti-bribery function
  - Top managementGoverning body
- Corrective action
- Continual improvement

#### What is next?

- ISO/TC 309 Governance of organizations was established by the ISO/TMB in September 2016
- ISO/TC 309 'Groups'
  - Communications and engagement
  - Strategic business plan
  - Governance of organizations
  - Whistleblowing
  - Anti-bribery management systems
  - Compliance management systems

## ISO/PC 278 has been disbanded

# Thank You!

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